

SUBJECT: HUD CHIEF INFORMATION OFFICER

Document: Report of the Change Agent Team for the Technology Investment Board

Date: May 1997

Description: Secretary Andrew Cuomo established Change Agent teams to develop concept plans and proposals for major management reforms. This document describes the mission, need for change, proposed reforms, staffing and organization plan, and needed implementation tools which led to the establishment of the HUD Chief Information Officer. The CIO office ultimately played a pivotal role in improving HUD's data quality, information systems, and management of information resources. These efforts addressed critical and long-standing Departmental weaknesses.

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**U.S. Department of Housing & Urban Development
Administration History Project
December, 2000
DOCUMENT #3**



THE TECHNOLOGY INVESTMENT BOARD

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Analysis
May 14, 1997

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TECHNOLOGY INVESTMENT PROCESS Change Agent Team Report

MISSION

This report will trace the establishment of technology policy and present findings which portray the current status of this important issue in the department. It will offer new major recommendations to materially strengthen each facet (development, implementation, performance evaluation) of information technology for the department.

The singular premise of the recommendations is that technology is the linchpin of the current plans to change and downsize HUD.

BACKGROUND

From the beginning, there appears to have been two tracks for Information Technology (IT) decision making:

1. The "paper" track which conforms to guidance on "capital planning", the regulatory correct process, designed to impress with the comprehensiveness and efficiency of the policy and process.
2. The "real" track which reveals a hit and miss porkbarrel decision making process often delegated by management to a lower level career staff.

In short, throughout the examination conducted by the Technology Investment Process Change Agent Team, everyone was struck by a recurrently overwhelming theme: There is no top management commitment to technology policy except at times of crisis and the current structure does not produce the needed results.

Recently, HUD was about to respond to the May 1st OMB requirement for the Information Technology Management Reform Act's (ITMRA) status report on the CIO organizational structure in the Agency that, "we have experienced no operational difficulties."

When the CAT team discussed the proposed response with the CIO, he agreed that the entire CIO process would be greatly improved by a revised "robust" CIO as well as by major additions and revisions to the current technology investment process. Yet, when the obvious contradiction with the proposed OMB May 1st letter was pointed out, the response was that it was the Deputy Secretary's letter...not the CIO's.

At the CAT team's request, the Deputy Secretary has withheld his signature and asked OMB for a 30 day extension to allow time for this review.

It is important to note that despite a questionable overall process, HUD has developed some award-winning products in the e-mail system in 1989 and the HUD Internet Home Page in 1996...both of which are seen as among the better ones in the federal

government. It is even more important to emphasize that there are hardworking and talented people in the leadership and staff of the Office of Information Technology (OIT). The lack of proper commitment from the top management throughout the agency has often resulted in a disproportionate burden of decision making being delegated to career staff without direction and authority.

As a result, the information technology (IT) organization is pummeled from all sides with dissatisfied critics who are frustrated with a fundamentally mushy, unsound decision making process.

How did this happen?

As recently as the late 1980s, technology was viewed as a somewhat esoteric, mainframe component of HUD's management structure and culture. For most managers it was an incomprehensible, almost mysterious, science to be handled by experts in a secluded part of the agency.

With the advent of the personal computer, the use of technology became more common and the computer has become a tool used by employees and managers at all levels.

However, top management has yet to make the consistent commitment to be in charge of technology policy development and implementation in a comprehensive manner.

Over the years, the technology management decision making has basically been a two step process:

- Step 1. A working group of career representatives from each program area (with staff support from IT doing the in depth analysis) made recommendations which were forwarded to the executive level.
- Step 2. An executive group of political appointees led by the Deputy Secretary comprised the management committee which acted on the recommendations of the working group.

In the early period (pre 1993), the working group was called the IRM (Information Resources Management) working group and the executive group was called the IRM management group or management committee.

In 1994, A/S Marilyn Davis, recognizing HUD's growing demand and expenditure on technology, introduced the concept of technology as an investment. As a result, the working group and executive group were renamed the Technology Investment Board working group and Technology Investment Board (TIB).

The goal of the TIB structure was to focus top management attention on the FY97, \$213M yearly investment.

It was handicapped by:

1. A preoccupation with allocation of money and little else (eg. oversight, evaluation, performance measurement); and,
2. Attendance at meetings for both groups was too often delegated to lower level career staff

In 1996, the Information Technology Management Reform Act (ITMRA) called for the creation of a Chief Information Officer (CIO) intended to establish clear accountability for agency information resources, management activities, and foster the effective acquisition and use of information technology. (See Attachment 1)

The requirement that the CIO report to the head of the agency called for the end of the "Mom and Pop" style management of information technology and the expectation of full integration into top management. Once again, HUD responded with a "paper" solution by indicating that the current IT Director who reports to the A/S for Administration, would also be named the CIO reporting directly to the Secretary. In reality, the HUD CIO does little more than what the IT Director has always done.

In 1997, as one of his first acts, Secretary Cuomo strengthened the TIB decision making process by removing it as a routine item on the lengthy management committee agenda and elevating it to its own separate meeting.

NEED FOR CHANGE

If HUD is to be successful with the Secretary's proposed "sea change" in service delivery and concomitant downsizing, it is crucial to manage information and information technology to maximize performance.

What now exists is basically an allocation process...a group of people get together to divide up the money and then forget about it. Often the group of people are representatives of top management whose primary mission is to protect the special interests of their respective program/business areas.

HUD has demonstrated on various occasions that it knows what it must do...what HUD has not demonstrated on any occasion is that it has the voluntary, willful discipline to just do it.

The most recent example of this phenomenon occurred in June of 1994 when HUD became the first federal agency to partner with GAO to benchmark its Information Resources Management (IRM) against the GAO's 11 best practices.

The findings that HUD senior managers included in a document transmitted to the Chair of the Senate Committee on governmental affairs on July 1st, 1994 appeared to mirror almost word for word the findings of this CAT Team:

"Top line management often delegates IRM decision making to lower level managers/program staff who maybe too far removed from the big picture to appropriately manage the resources."

"System development projects often are only monitored to determine spending levels. And not determine whether system design and implementation meet user needs and further the mission of HUD."

"Program staff are often immersed in their own programs and have a narrow perspective. They do not have a strategic vision..."

In summary, this report's recommendations will give the department the optimal framework and staff alignment to use modern technology as a major tool to maximize service in a more efficient, downsized department.

The team interviewed numerous people within HUD and outside the agency including Headquarters and field staff, OMB, GAO, the TIB Working Group, IG, Change Agent Team Leaders, the former IT Director, and current CIO's in other agencies.

There was overwhelming consistency in the assessment of the current situation at HUD.

1. **Top management (political appointees) have been unable or unwilling to make the necessary commitment to technology policy development and implementation.**
 - a. Historically, the Secretary has not shown strong commitment to integrating technology with the Department's mission and to holding principal staff accountable.
 - b. Responsibility for technology investment decisions is delegated downward.
 - c. Because of lack of attention by program areas, IT fills the void by making decisions about program area requirements rather than missing a delivery date.
2. **HUD staff, stakeholders, and customers repeatedly state that they cannot get the information they need from the existing information systems.**
 - a. Responsibility and accountability for systems and data quality is not clearly identified. This frequently results in finger pointing with no progress.
3. **Decision making process for selection, control and evaluation of information technology investments does not work effectively.**
 - a. Current TIB process is focused almost exclusively (at least 90%) on the allocation of the working capital fund. Implementation, oversight, and performance management receive minor (no more than 10%) attention.
 - b. The structure of the TIB encourages the membership to secure funds and approval for their own program areas. Advocacy for cross-cutting issues is extremely limited.
 - c. Current portfolio of investment projects does not represent the Secretary's current priorities (decisions were made on Blueprint II).
 - d. The negotiating nature of the TIB working group results in compromises as opposed to making hard decisions.
4. **Technology decisions are not tied to the budget process.**
 - a. Budget formulation for IT investments is on separate track and schedule than the overall departmental budget process. As a result, the department misses the opportunity to leverage technology to fulfill its mission.

5. HUD's strategic vision is incomplete because of IT's inability to get verification of the Information Strategy Plan (ISP) from program experts.
 - a. Current ISP deliverable will not be ready until September 1997, rendering it too late for meaningful use in the FY98 budget.
 - b. The format and content (volumes of detailed information) are not summarized for high level decision making.
6. Customers don't perceive that IT is responsive to their needs.
 - a. Systems delivery takes too long and does not do what it is intended to do (OIG, field systems).
 - b. There is confusion about who is responsible for technical assistance.
 - c. Customers fear retaliation for complaining; may not be able to get programs or software on the LAN.
7. Too many layers between customer and service provider.
 - a. Program areas must work with an IT "intermediary" in order to obtain services from a contractor.
 - b. Most IT systems staff are not located in the program areas. Satisfaction expressed with model where project manager is in the program area.
 - c. The current type of contracts used for systems development and maintenance are not performance-based. In effect, HUD is buying hours and not results.
8. Effectiveness of CIO role is impaired.
 - a. The dual reporting role of CIO to Deputy Secretary and IT Director to Assistant Secretary for Administration is confusing and not conducive to a strong leadership role for the CIO.
 - b. The CIO has not played role in Departmental budget process according to OMB. OMB believes that IT investments decisions must be linked to budget process.

9. The current TIB/IT decision making system is not conducive to innovative proposals.
 - a. Frequently unfunded/ignored projects are "bootlegged" outside of allocation/decision making process. For example:
 - San Francisco information kiosk
 - Model Office TA MAP in Philadelphia
 - Procurement system in Denver

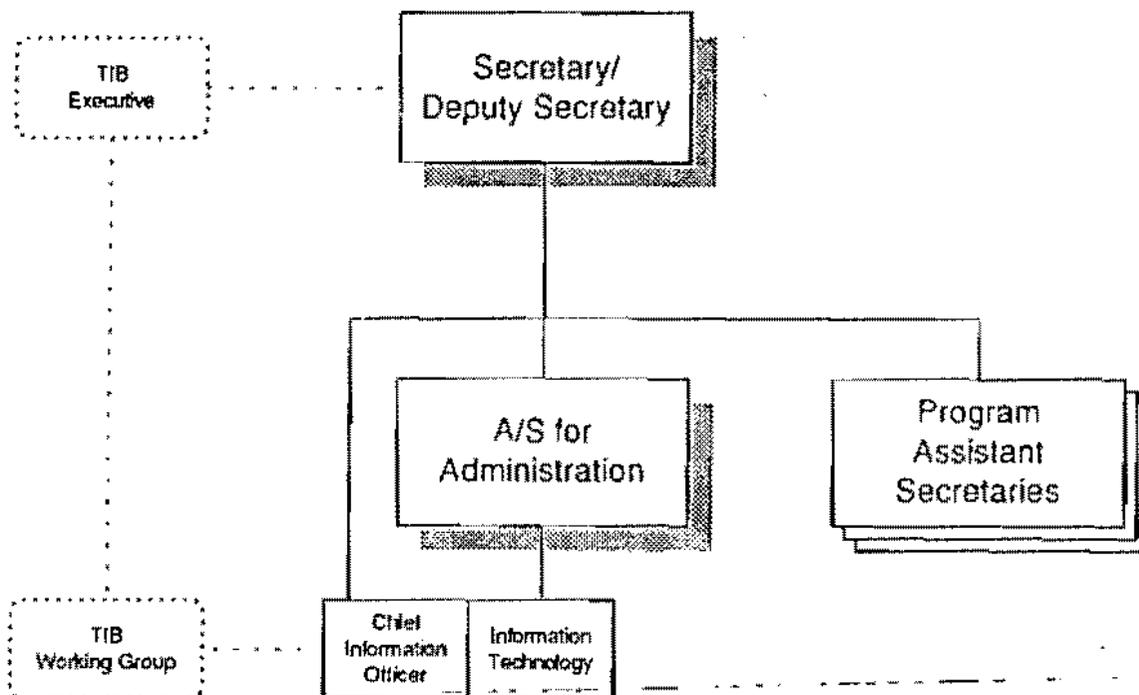
10. The current HUD structure does not promote adequate field participation in the analysis, design, testing, implementation, and decision making process of HUD systems.
 - a. Systems developed in Headquarters to obtain information from the field do not get the job done because the field is not fully consulted or properly valued.
 - b. Field offices often develop their own systems when the Headquarter's systems do not meet their needs. As a result, there are no controls on locally developed applications.
 - c. Field IT Directors and staff are not included in the process but are expected to support the technology and software. Field IT Directors and Automation Technology Administrators report to the Administration Service Center and have a vague relationship to the organization they serve. See attached chart "Current Information Technology Relationships: Field and Headquarters".

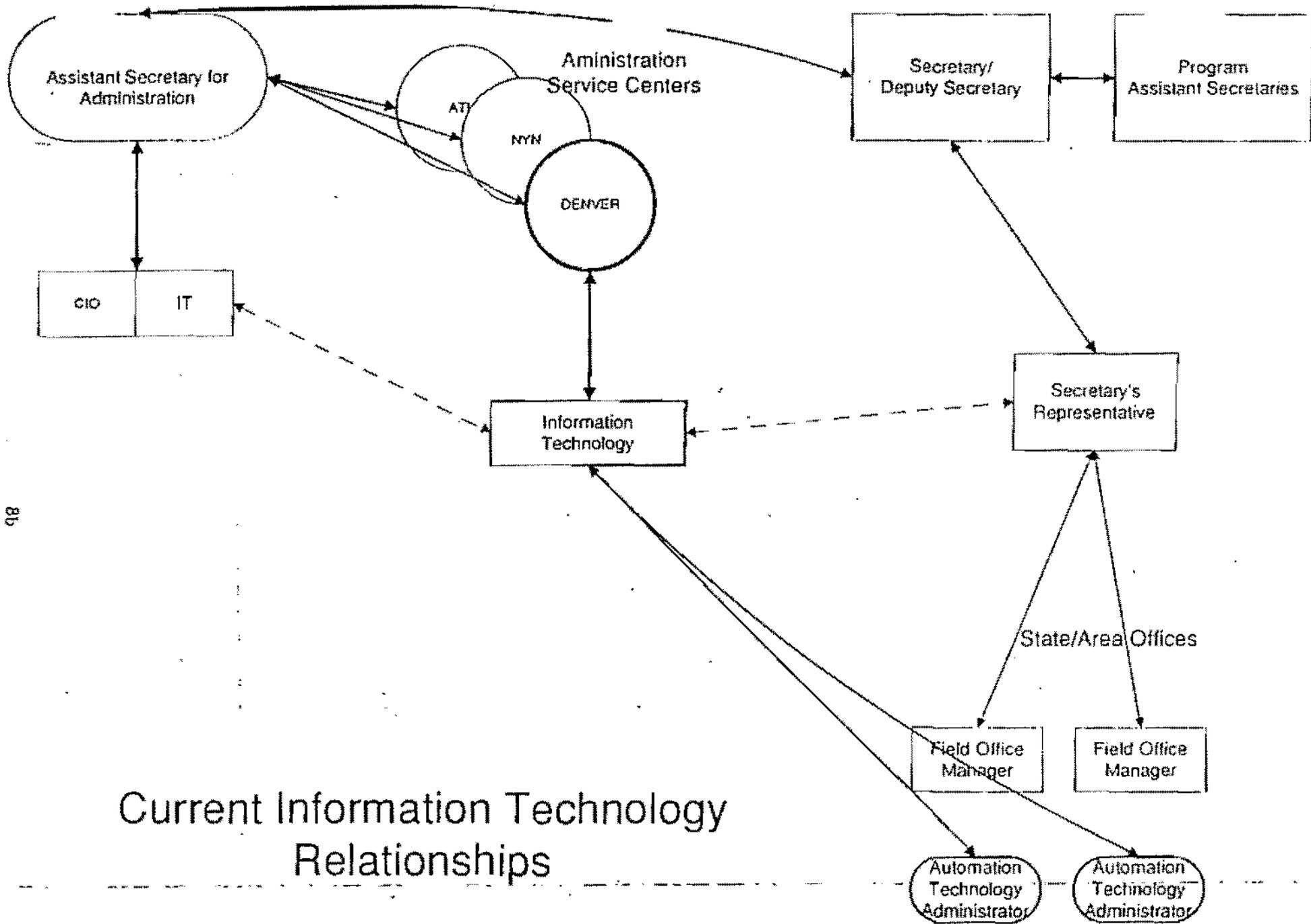
11. As the use of technology expands, there are unmet user support needs in the field.
 - a. Local IT staff, who report to one of six IT Directors, are responsible for software and hardware administration and maintenance. They do not support program area applications.
 - b. Offices rely on "shadow IT experts" for systems development and training in the program areas.

The charts that follow illustrate the current process and include a narrative description of the details of the steps in the process.

Current HUD Headquarters Information Technology Reporting Structure

May 16, 1997





Current Information Technology Relationships

Field and Headquarters

The Current HUD Technology Investment Planning Process

- | <u>Step No.</u> | <u>Activity</u> |
|-----------------|--|
| 01 | <p>CIO/Information Technology issues memorandum in June/July calling for Program Offices to prepare proposals for Information Technology (IT) investments/projects for the up-coming Fiscal Year.</p> <p><i>IT investments on separate track and schedule than overall departmental budget process. HUD's current Information Strategic Plan can't be used for Fiscal Year 98 budget planning.</i></p> |
| 02 | <p>Program areas and Information Technology develop requirements for systems projects and for the required infrastructure (mainframe computers, networks, equipment and maintenance).</p> <p><i>Field input is not fully considered nor properly valued during the development of requirements.</i></p> |
| 03 | <p>Program areas and the Information Technology submit proposals to the CIO organization in response to the memorandum.</p> <p><i>Frequently unfunded/ignored projects are "bootlegged" outside of the process.</i></p> |
| 04 | <p>CIO organization ranks projects according to specified criteria. Proposed projects are structured and displayed by CIO in the Investment Portfolio.</p> <p><i>The current portfolio of investment projects does not represent the Secretary's current priorities (decisions were made on Blueprint II).</i></p> |
| 05 | <p>CIO presents the portfolio to the Technology Investment Board (TIB) Working Group with program areas making presentations on behalf of their own submissions.</p> <p><i>Program areas are primarily interested in approval for their own projects. Little advocacy for cross-cutting issues.</i></p> |
| 06 | <p>The TIB Working Group votes on submissions and adjusts funding allocations for projects. This results in the Investment Portfolio for presentation to the Management Committee.</p> <p><i>The Current TIB process is focused almost exclusively on the allocation of the working capital fund. The negotiating nature of the TIB results in compromises.</i></p> |

rather than hard decisions.

- 07 The CIO presents the portfolio to the Technology Investment Board (the Management Committee).

The format and content (volumes of detailed information) are not summarized for high level decision making.

- 08 The Technology Investment Board (Management Committee) votes to approve funding allocations.

Main focus is on getting fair share of the budget. Limited advocacy for cross-cutting issues at this level either.

- 09 The Office of Information Technology establishes customer allocation accounts in the operating budget.

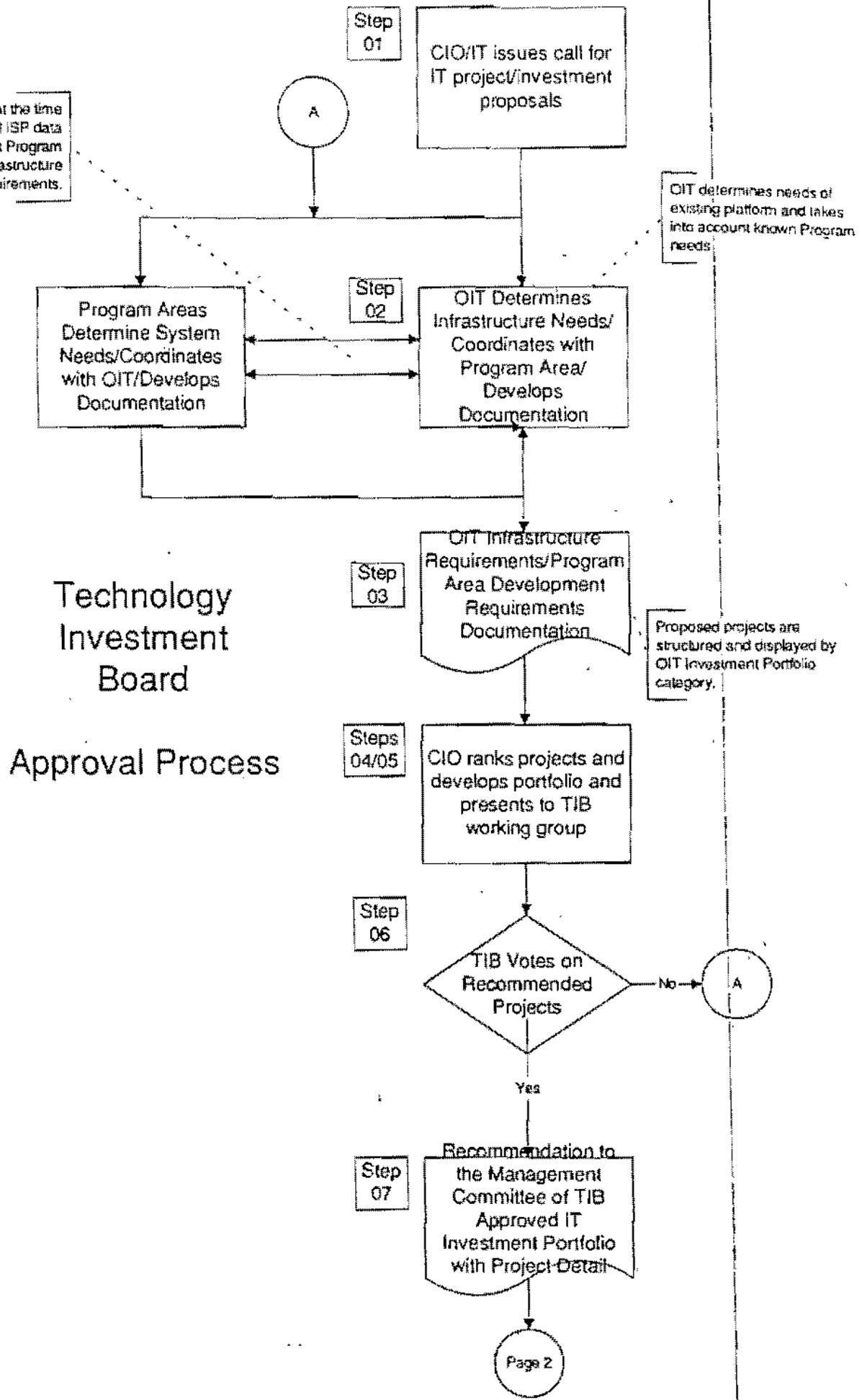
- 10 OIT begins to work on approved projects.

Program areas must work with an IT "interpreter" to obtain contractor services. Field offices often develop systems to meet requirements not met with Headquarter's systems. No control on locally developed applications. Field IT Directors and staff are not included in the process but are expected to support the technology and software.

- 11 Project status reports are presented primarily on a request-only basis.

Implementation, oversight, and performance management receive only minor attention.

parallel process that takes place at the time of budget Allocation. Departmental ISP data is used in these processes. OIT evaluates Program requirements relative to infrastructure requirements.

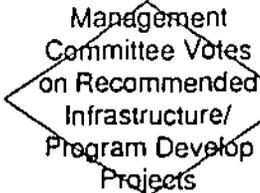


Technology Investment Board
Approval Process

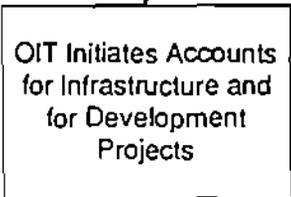
OIT determines needs of existing platform and takes into account known Program needs

Proposed projects are structured and displayed by OIT Investment Portfolio category.

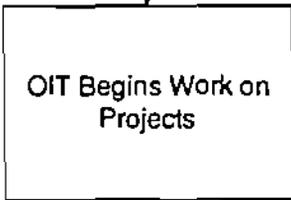
Step 08



Step 09

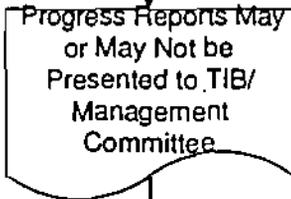


Step 10

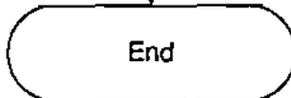


Project teams include Program Area Project Leaders, OIT Project Leaders.

Step 11



There is not a structured formal monitoring or evaluation to determine if the funds have been well spent.



PROPOSED REFORMS

Many of this report's recommendations have been suggested previously, most recently in the report on the June 1994 GAO benchmark session attended by over a hundred senior HUD managers.

"The Secretary has to become involved and say that this is important and most importantly, trade off some other priority so that time and resources are made available."

"Consistently involve senior managers throughout the information resource management project life cycle to ensure accountability."

"...focus on return-on-investment."

"Establish disciplined decision process."

What we are proposing is a new, high level, comprehensive structure which will plan, decide, oversee, and measure the technology investments for the Department. The structure's success is dependent on the willful discipline and commitment of the Secretary and Principal Staff.

So here we go again with the following recommendations...

1. **Secretary, Deputy Secretary, CIO, CFO, And Program Assistant Secretaries must make IT Investment decisions and evaluate the success of those decisions.**
 - a. Dissolve the TIB and the TIB Working Group and incorporate technology decisions with other strategic and resource decisions.
 - b. Technology issues and investments, monitoring of current investments, and evaluating performance and results must be part of the leadership agenda on a regular basis.
 - c. Leadership must demand and use data to drive decision-making and thus convey the importance of accurate information.
 - d. Principal staff must require that their staffs be fully involved in defining information needs and that they participate actively in designing and testing systems.
 - e. Principal staff must involve the field in design and testing of systems.

2. CIO Must Report To The Secretary/Deputy Secretary And Have Full Responsibility For IT Policy, Planning, Evaluation And Operations.

- a. Select a political CIO reporting to the Secretary.
- b. Staff the CIO Office with "desk officers" working directly with program staff to identify technology requirements and monitor progress on technology investments.
- c. Transfer IT operations from the Office of Administration to the CIO.
- d. CIO must be responsible for replacing the volumes of technical information currently used with concise targeted information/data needed by executives to make informed decisions.
- e. The CIO must consider data quality issues as they effect any proposed system and must continue the work of establishing an information architecture and data standards. The data standards must be applied to all systems.
- f. Because the CIO must ensure that a process review be conducted prior to systems development, transfer the business process reengineering function from Office of Management and Planning to the CIO.
- g. CIO will be responsible for continuously evaluating progress in achieving project goals and will continuously assess the contribution of newly developed and existing systems to HUD's objectives.
- h. Commence immediately with preparation of multi-year ISP that will support annual decision making well in advance of budget year. Refocus attention on making right investments.

3. Revamp the IT organization and Change the Way IT Projects are Managed

- a. The IT Director will report to the CIO.
- b. Review and streamline IT organization and staffing to correspond to its role as a service provider. Conduct an in-depth organizational assessment including number of staff and contractors, relationship to Program Offices, and adequacy of technical skills.
- c. OIT will become a highly skilled technical organization providing one option to departmental customers for obtaining information services.

- d. Each program area will have the resources, responsibility, accountability, and authority to develop and maintain systems. Project manager(s) will make decisions about how the project will be accomplished, with oversight by the CIO to assure that expected progress is made and standards are followed.
- e. Provide technical training for mid-level HUD IT staff so they can provide technical services directly, which will reduce reliance on contractors, eliminate management layers, and improve communication with customers.

4. IT Investment Decisions Must Be An Integral Part Of The Departmental Budget Process.

- a. Make decisions about technology expenditures along with other budget decisions and do multi-year planning.
- b. Review the entire existing IT budget and CIO operation to:
 - Determine how existing dollars are spent and make decisions about how IT functions are accomplished; and.
 - Eliminate and/or consolidate overlapping, duplicative and/or ineffective/inefficient systems.
 - Assess how the Working Capital Fund is used and managed.
- c. The working capital fund will have a set-aside to be allocated on a competitive basis for innovative projects. HUD field and Headquarter's staff can propose small pilots, consistent with standards, for funding.

5. The CIO and Program Managers Must Involve the Field in Technology Decisions

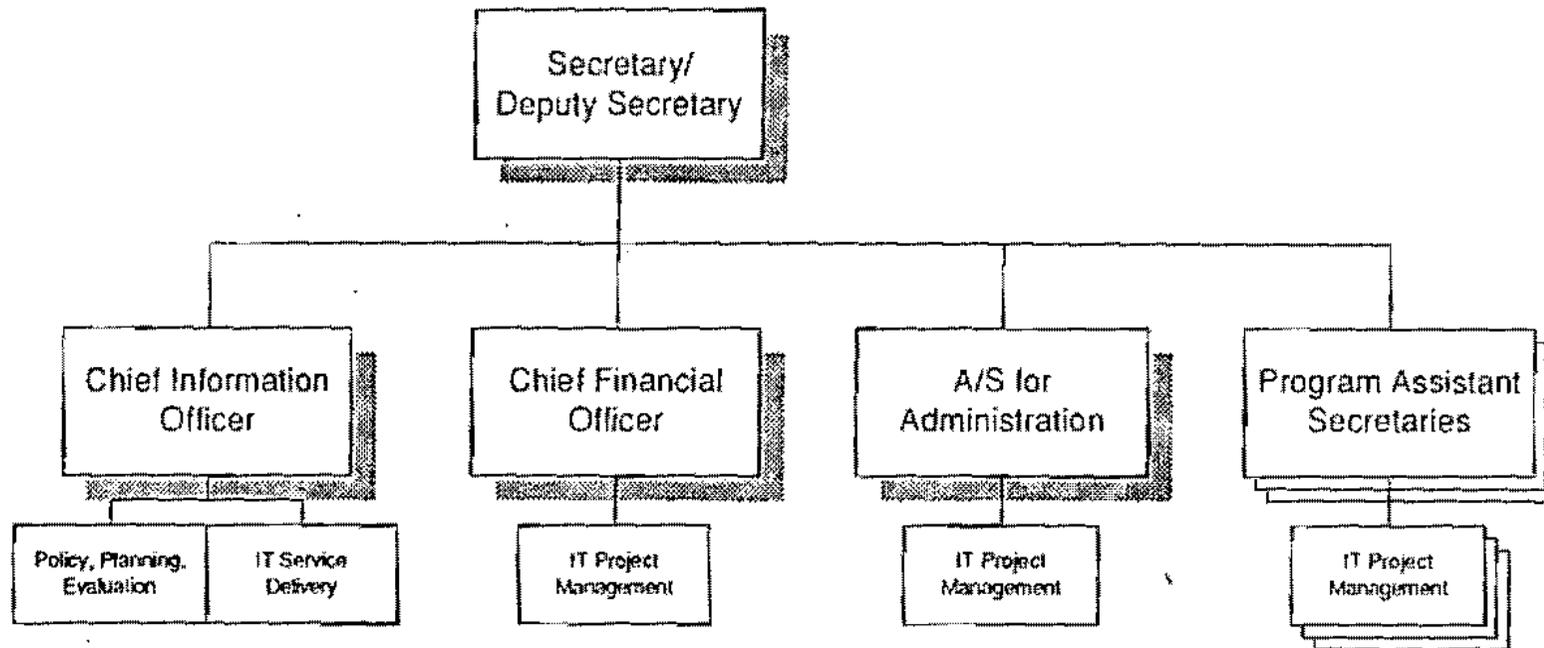
- a. If technology is to be the linchpin of HUD 2000, then the support staff in the field will be expanded to place an IT Director in each Secretary Representative's office.
- b. Field offices must be involved in the planning, analysis, design, and implementation of HUD systems. This will be accomplished by a system of field concurrence by the Secretary's Representative and Program Area Director(s) who will consult with the IT Director and Field Information Systems Specialist on all technology plans proposed by the Headquarter's program managers.

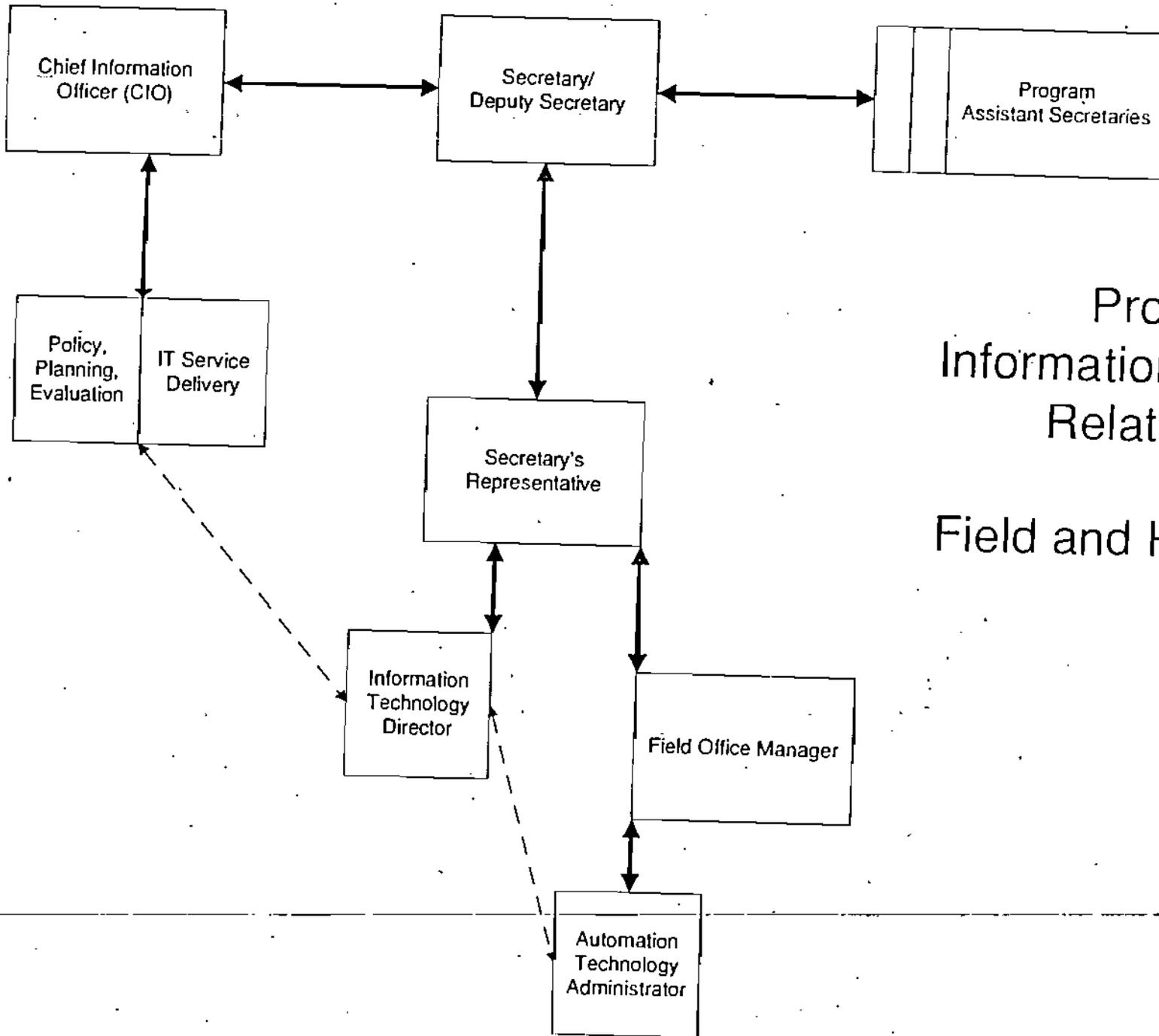
- c. The Field IT Director (expand from 6 to 10) will be responsible for analyzing cross-program field office proposals for new information systems, prioritizing needs, directly funding selected small-scale proposals, and advocating for larger proposals within the concepts contained in the CIO's vision. Field IT Directors to report to the Secretary's Representatives. See attached chart "Proposed Information Technology Relationships: Field and Headquarters".
- d. Automation Technology Administrators will report to the State/Area Managers and will receive technical guidance and direction from the Secretary's Representative's IT Director.

The charts that follow illustrate the proposed process and include a narrative description of the details of the steps in the process.

Proposed H' Headquarters Information Technology Reporting Structure

May 16, 1997





Proposed
Information Technology
Relationships
Field and Headquarters

Detailed Proposed Change

A. IT INVESTMENT BUDGET DEVELOPMENT PHASE

This initial phase begins a critical new commitment to multi-year technology planning and decision making.

1. Approximately 15 months prior to the beginning of the Budget Year, the Departmental budget call to Principal Staff requires IT Investment Documentation.
2. Program Assistant Secretaries' budget submissions include IT investment justifications, analysis of alternatives, cost and benefit analysis, performance measures. This portion is sent to CIO.
 - a. Program Assistant Secretaries involve business experts and field in identifying and preparing submissions.

IT investment decisions become part of the Departmental budget process. Also, establishing a set-aside fund for "innovations"; a stronger involvement of program staff in designing and testing systems; and, stronger field involvement by requiring their concurrence on proposed technology plans.

3. CIO Desk Officers perform a technical review and rank according to compliance with Information Strategic Plan and Capital Plan. Submissions may be accepted, returned for additional material or justification or rejected.
 - a. Performance information from existing projects is used as input to this selection and funding process.

Replacing the TIB and TIB working group to incorporating technology into other strategic and resource decisions. The effect of data quality and data standards issues on any proposed system are considered. In addition, business process reengineering begins here.

4. CIO identifies any issues needing top management approval (including high risk projects, etc.) and leads the Management Committee in making informed decisions.

This requires that the CIO bring issues to top management for decisions.

5. Thirteen months prior to the Budget Year, Department begins preparing OMB Budget Submission. Technology investments included as part of Department's

overall budget submission. CIO involved in entire OMB/Congressional budget process -- preparation, justification, and OMB and Congressional hearings.

CIO becomes an active player in HUD budget process with OMB and the Congress.

6. Customers are allocated funds for IT investments consistent with approved HUD budget. With project approval and funds, customer accepts responsibility for deciding on an acquisition strategy, consultants and accountability.

Each program area has total responsibility, authority, accountability, and resources to develop and maintain systems. OIT available as one potential "contractor" for systems implementation.

B. CONTROL AND EVALUATION PHASES OF THE EXECUTION OF THE IT INVESTMENTS

CIO clearly responsible for ongoing oversight of projects and contributions of systems to achieving HUD objectives; and apprising top management of progress and issues.

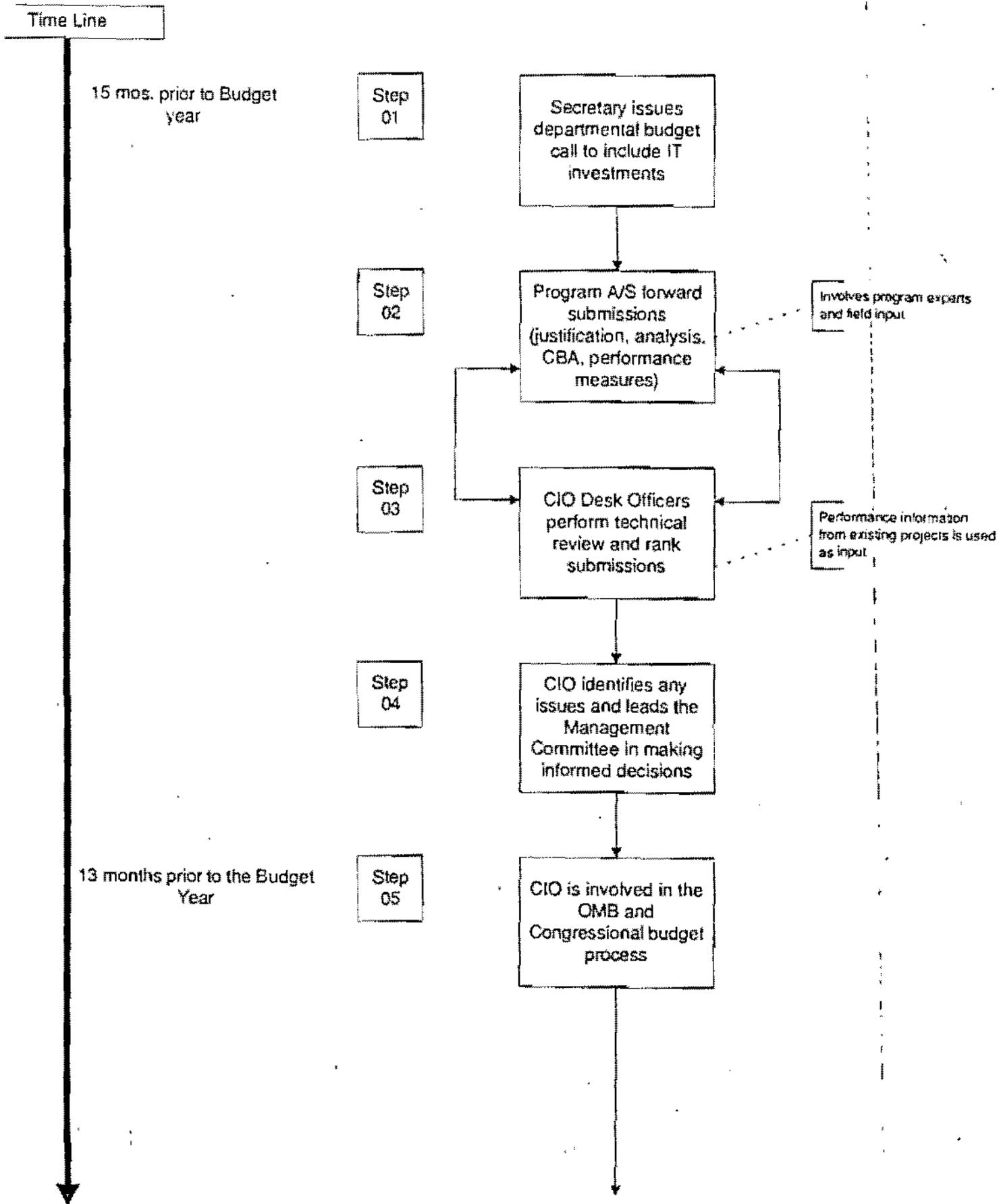
7. Informal project assessments are performed on a periodic basis for developmental and operational systems by CIO Desk Officers.
8. CIO Desk Officers prepare quarterly performance reviews of identified projects to assess if capabilities are meeting program objectives and performance goals.
9. As a product of these reviews, the Management Committee are provided updates to the documentation that reflect actual project/system performance in terms of schedule, cost and performance goals. Based on actual performance information, the Management Committee decides if a project:
 - should continue
 - be terminated
 - modified or ramped down
10. The CIO will report to the Management Committee current trend analysis of all IT initiatives within the agency at least monthly. IT initiatives will be reported in three categories:
 - Those systems/projects that have lowered their risks
 - Those systems whose risks remain the same
 - Those systems that have increased their risk.

11. Before systems are installed, user acceptance tests will be performed by people using them in Headquarters and in the Field.

**C. CIO-DRIVEN TOP MANAGEMENT PLANNING PROCESS
(Ongoing Process)**

12. CIO updates Long-term Information Strategic Plan in partnership with Secretary and Assistant Secretaries:
 - sets broad direction and goals for managing information, supporting delivery of services to customers and the public and identifies the major IT activities to be undertaken to accomplish desired agency missions and goals
13. Outcome of Investment Strategic Planning drives formulation of Capital Plan which CIO develops with Secretary, CFO and Assistant Secretaries to identify the IT initiatives that implement strategies: specific actions, schedules and resources.

Proposed Process for HUD Technology Investments



Time Line



Step 06

Upon approved budget, customers allocated funds for IT projects

Program Area accepts responsibility for acquisition strategy, consultants, and accountability

Step 07

CIO Desk Officers perform informal assessments of selected projects

Step 08

CIO Desk Officers prepare quarterly performance reviews

Assess if capabilities are meeting program objectives and performance goals

Step 09

CIO provides Management Committee with performance information

Management Committee decision to continue project, modify or ramp down project, or to terminate project

Step 10

CIO reports current trend data to the Management Committee

Systems/projects that have lowered their risks, those whose risks remain the same, and those that have increased risks

Step 11

User acceptance tests are performed by users both in the Field and in Headquarters

Time Line

Step
12

CIO updates Long-term Information Strategic Plan in partnership with Sec. and A/S

Sets broad direction and goals for managing information, supporting service delivery, and identifies IT actions to meet agency mission and goals

Step
13

Sec./Dep. Sec., CIO, CFO & A/S develop the Capital Plan

Outcome of Investment Strategic Plan drives Capital Plan. Identifies IT initiatives that implement strategies; specific actions, schedules, and resources

BENEFITS

The team recommendations will correct the problems cited above and accomplish the following:

1. Technology investments will be aligned with departmental goals.
2. Technology will be used to serve HUD's customers and to communicate HUD's relevance to the public through graphical and visual presentation of information and easily accessible information sources.
3. Departmental leadership will be actively involved in the decision-making process. The information provided to them will elucidate the issues for their consideration.
4. Decisions about technology expenditures will be linked to the budget process.
5. The CIO will have the status and the necessary staff to assure that IT funds are used effectively and that reasonable standards are enforced.
6. Oversight and monitoring of IT projects will be strengthened and results will be evaluated.
7. Field involvement in systems design and testing will increase so that systems meet the needs of the people who must use them.
8. Accountability for each technology project will be clear and responsibility for projects will be accompanied by the authority and resources to accomplish them.
9. Program staff must be actively involved in providing information needed for their projects and for departmental planning.
10. IT will be customer-oriented and streamlined, reliance on contractors will be examined, and communication channels between IT customers and providers will be more direct.
11. Accountability for data quality will be clear and there will be a process for dealing with data clean-up.
12. Standards will promote quality and customer service.
13. There will be room for creativity and provision for flexibility.

STAFFING AND ORGANIZATIONAL PLAN

This Change Agent Team did not receive a management reform plan as a basis for its examination. A reorganization proposal does exist for IT, but does not address management reform.

It should be noted that the current IT staff are funded from the working capital fund and therefore are not included in the FTE count for the Agency. However, there are systems staff in the program areas who are counted in the FTE allocation.

Presently, the OIT has a staff of 1227 working on the Department's technology investments. After a review of OIT is complete, a more effective organization will result from moving the relevant portion of OIT staff working on systems development and maintenance (currently 115 in OIT) to the respective program areas to support their increased responsibility.

The Field IT staff could be moved that would correspond to the stronger emphasis on customer-driven service.

Staffing (FTE and Contractor)

Headquarters OIT Staff (WCF) --	
.. HUD staff	277
.. Contractor staff	<u>950</u>
	1227 (total)
Field IT Staff	
.. HUD staff	144
	<u>16</u>
	160 (total)
Headquarters Program Staff (estimate)	22
Total	1409

With this report's new structure in mind, we strongly recommend that a major study analyze the functions of all staff and contractors involved in IT-related work regardless of where they are located organizationally and their source of funding. This study will produce a plan for appropriate staff and funding for this new structure. It could result in savings.

CIO Requirements of ITMRA: What They Are and What Agencies Are Doing

As part of our review, we reviewed the CIO requirements of ITMRA and looked at what HUD and other agencies have done to implement these requirements.

Also, since OMB has responsibility for overseeing and evaluating agency implementation of the CIO Act and is working with agencies to establish effective CIO organizations, we interviewed Jasmeet Seehra, OMB Office of Information Policy and Technology and CIO Council OMB Point of Contact, for the OMB view on what and how well agencies, including HUD, are doing in implementing the requirements.

The results of our reviews and analysis, including OMB's conclusions and related points follow.

Background

OMB issued guidance to agencies on implementing the CIO requirements of ITMRA. In response, HUD and other agencies provided OMB with their plans for implementing the requirements. Based on this, OMB concluded that three models were followed in implementing the CIO requirements of ITMRA.

The organizational models implemented by federal agencies as of August 1996 are:

Completed CIO model: CIO has full access to agency head, although daily reporting may be to the Chief Operating Officer; has experience in leveraging the use of IT, capital planning, setting and monitoring performance measure, and establishing service levels with IT users; exposure to broad range of technologies; and knowledge of the government budgeting process and procurement process.

.. 8 agencies in this category: Army; DOD; EPA; FEMA; GSA; OPM; Navy; and, State.

Recruiting model: Agency has appointed an acting CIO or point of contact that may or may not meet the duties, qualifications and placement requirements of ITMRA. OMB agreed to reevaluate these situations.

.. 6 agencies in this category: USDA; Education; Interior; DOT; NSF, and NRC.

Evaluation model: Either the CIO does not report directly to the head of the agency (organizational placement); or there is a concern about the experience of the individual regarding the duties of the CIO long-term.

In terms of organization placement, agencies with a CIO that reports through as Assistant Secretary for Administration, claim that the CIO has a dotted relationship to the Secretary or Deputy Secretary. In some cases, CIO is either the Deputy Secretary or the Assistant Secretary for Management and there is a question of which will be the "primary duty".

In some cases the CIO functions is established with a separate direct reporting relationship to the Office of the Secretary even though the CIO reports to the Assistant Secretary for basic IRM functions.

OMB is concerned that these agencies in this category may not presently comply with ITMRA, so all these agencies have been asked to report back to OMB within a year regarding their CIO and CIO organization and how the agency will come into compliance with ITMRA.

11 Agencies in this category: Air Force; Commerce; Energy; HHS; HUD; Labor; NASA; SBA; SSA; Treasury; and, VA.

Note: Two agencies, Justice and AID were classified as "undecided" because they had not made decisions about the selection and organizational placement of their CIO.

OMB Assessment of ITMRA Implementation

OMB has reached several conclusions about what organizational models work well and which agencies have made the most progress toward achieving the objective intended by the Act based on their experience in working with agencies since the Act was passed, including a full budget cycle.

CIO reporting relationships

OMB believes that the key factor to an effective CIO is the whether the CIO reports directly to the Secretary. In about one-half to two-thirds of the agencies, the CIO reports to the Deputy Secretary. This has been effective as long as the CIO has access to the Secretary without having to go through another official. In OMB's view, CIOs that report to an Assistant Secretary have not been effective.

In the agencies that combined the CIO with the Assistant Secretary or Deputy Secretary for Management position, OMB believes that this combination of responsibilities has not been effective because these officials have "too much on their plates".

In several agencies where financial systems represent a substantial part of the agencies information systems portfolio, the CIO and CFO positions were combined. This appears to be working in one agency but not in others. However, OMB is amenable to combining the CIO and CFO positions if the person meets all the qualifications of both positions.

OMB believes it does not matter whether the CIO is a political appointee or career civil servant. In about half of the agencies the CIO is a political appointee. As stated earlier, OMB believes the key factor to an effective CIO is whether the CIO reports directly to the head of the agency.

With respect to finding candidates who are political appointees and well qualified to serve as a CIO, OMB has worked with the White House personnel office to develop a roster of qualified CIO for agencies to choose from. OMB feels that White House personnel has been doing a good job of recruiting well qualified people to fill these positions. For example, the person chosen for the CIO position at the Department of Transportation had good CIO credentials as well as transportation experience.

Operational responsibilities

In every agency but one, the CIO has full responsibility for all IT functions. OMB thinks it should be that way. In fact, OMB plans to raise the issue with the one agency doing it differently.

IT budget and investment decisions

In most agencies, the IT budget is controlled by a review board; the CIO does not have responsibility for managing the IT budget.

Generally, the review board members are the CIO, CFO and program assistant secretaries. The boards not only review IT decisions, they set criteria for each project to assess whether there is a continuing need for it. In most agencies, there is only one board for the agency and the Board reviews all IT expenditures.

Agencies that have made the most progress in implementing ITMRA

We asked OMB which agencies have the best CIO models. Instead, OMB chose to site the ones they felt had made the most progress in implementing ITMRA. They are:

- **USDA:** The CIO is a political appointee who reports to the Deputy Secretary.
- **Labor:** The CIO is a political appointee who is also the Assistant Secretary for Management.

EPA: The CIO is a career employee who reports directly to the head of the agency. OMB suggested that HUD contact EPA because of their experience in including non-headquarters organizations in developing requirements and making decisions. During the interview, we expressed interest in knowing how each agency included field offices in the IT investment decision process.

The following are brief summaries of the interviews with GAO, Department of Labor, Treasury, and the USDA about their IT organizations and decision making process.

Christopher W. Hoenig, Director, Information Management and Technology Issues, GAO

There are a number of publications by GAO and others to guide agencies in setting up a capital investment process.

Best investment decisions are made when the CEO, COO, CIO, CFO, leaders of key business areas, budget, and chief technical architect are personally involved. They must meet at least quarterly to discuss selection, control and evaluation of IT investments as well as other competing expenditures like human resources. Decisions must be made in conjunction with budget decisions.

Decision-making requires good data. Ranking must include both quantitative and qualitative data. A small staff of high quality business and technical people must do the ranking and distill the data. The information for ranking must come from customers, users, designers, etc.

Follow-through including evaluation of impact of end-product on business is critical

HUD prefers policy to operational issues so it is critical to link technology decisions to programs.

To make serious changes, Secretary must:

- .. get involved personally
- .. appoint a champion who has broad credibility and can act as his agent to reinforce on a daily basis
- .. bring in existing sources of expertise (GAO, OMB, other agencies) to help

Good examples: Coast Guard, IRS, GSA.

Anne Reed, CIO, USDA

CIO reports to Secretary and day -to- day to the Deputy Secretary, is a member of the sub-cabinet.

- Political appointee with background in management, budget, business modernization. Believes only a political or a very senior career would have a chance to get attention at USDA.
- Responsible for CIO functions, telecommunication policy, department-wide operations like the National Computer Center and the Headquarters LAN. They are moving from 13 nationwide networks to one which may be under her or a lead agency.
- Sees her role as changing view of technology to relate it to service delivery and to link capital planning to GPRA and budget. Helped by the interest of a Congressional authorizing committee which is threatening to convene an outside board if USDA does not act on its own.
- CIO staff has 50 on policy (paid from appropriated funds), 250 + contractor support total.
- Standardizing data is biggest long run challenge (19 ways to describe land), part business process analysis, part bully pulpit. Data quality is the responsibility of the owner. Most of USDA very conscious of data quality.
- Investment board is chaired by the Deputy Secretary and includes Under Secretaries and has a written formal charter. It considers projects with life cycle cost exceeding \$100M, cross-cutting, or of special interest to the Secretary.
- Financial systems under CFO.

Patricia Lattimore, CIO, Acting Assistant Secretary for Administration, DoL
 (Background information provided by DoL is available including charter, appointment letter to OMB and OIG materials)

- According to OMB, CIO is a political but has had a long federal career, mostly at OPM. Also responsible for budget formulation and program reengineering.
- Information Technology Center reports to her and provides daily support to CIO and investment board. Now 7 people support CIO but expanding with senior staff who can do cost benefit analysis.
- Investment board chaired by CIO and includes CFO, DAS for Budget, directors of 2 major IT organizations and selected Assistant Secretaries. Has formal charter. Working on strategic plan. CIO has had support of Secretary and Deputy Secretary.
- Each component has own IT. IT managers from around DoL act as working group for board. Stand alone systems for state grantees not considered by

board. Board looks for sound investments, common use, interoperability. Working on measures to monitor investments. Systems not delivered is 12-18 months reviewed.

Beginning to force standards for e-mail, word processing - goal is for everyone to use intranet as a link. Data standards will be addressed 2-3 years into 5 year plan.

CFO must approve financial systems prior to board consideration.

Jim Flyzik, Acting CIO, Treasury

(Briefing materials and Charter provided by Treasury available)

Reports to Assistant Secretary for Management with dotted line to the Secretary. Takes issues to the Chief of Staff with his boss. OMB does not like on paper but likes business line orientation of CIO Office.

Political DAS for IT was converted to CIO. Will fill position either career or political. Incumbent is career with heavy involvement in VP's reinvention initiatives and strong ties to the Office of the Vice President.

CIO Office includes IT Policy and Management, Corporate Systems Management, Technology Advisory Services. 90 FTEs and 2-300 contractors, \$1.8B IT budget. Policy staff paid from appropriated funds, others from the working capital fund. 14 bureaus retain control of own applications within standards.

CIO Council oversees corporate systems, make technical decisions, contributes money and people. Separate investment board composed of Deputy CFO, DAS in management areas, heads of procurement and budget, representatives from the CIO Council.

OMB's evaluation of HUD

OMB recognizes that HUD has an investment board and an analytical process for making IT investment decisions. But, OMB believes that because the process is not tied at all to the HUD budget process, it's "not real". OMB specifically noted that HUD's CIO was not involved at all in HUD's budget process; whereas, CIO's from other agencies were clearly involved.

OMB believes that HUD's CIO has no top level support. They see the fact that the CIO reports through the Assistant Secretary for Administration as not in the best interest of the Department.

One specific issue noted by OMB is that IT service contracts comprise a large part of the budget. It is not clear to OMB that the Department has looked at this or

made a corporate decision about using these contracts, i.e., whether this is the best way for the Department to get these services or whether this is how the Department chooses to obtain the services.

OMB Evaluation of IT investment process and CIO organization

OMB is in the process of conducting a more formal evaluation of the agency implementation of the ITMRA and the effectiveness of IT decision processes.

As a first step in that process, OMB has asked agencies for information on the capital planning process and the CIO appointment process. OMB is focusing on the following issues:

- **Organization and process for IT decision making:** What is it? Does a charter exist? Is there a review board? Linked to the budget process?
- **CIO appointment process:** Who does the CIO report to? What are the duties and responsibilities? What staff are assigned to the CIO?
- **Process for evaluating success in IT Investments:** Are project milestones established and evaluated? Does the agency have an IT architecture? Is there compliance with the architecture? Are there evaluation criteria for investments?
- **Benefits/Cost/Risks of Investments:** How is this considered? Are prototypes used? How is risk assessed?

OMB asked that agencies provide background information on each of these two areas by May 1, 1997. As previously stated, HUD requested an extension to allow time for the completion of this Change Agent Team review.

Summary of OMB Guidance on ITMRA CIO Requirements

The following is a summary of the OMB guidance on ITMRA CIO requirements and HUD's implementation response.

OMB (Rivlin) to Agency Heads: 4/4/96

- Designate a senior official for information resources management
- Implement budget linked capital planning and performance based management of information technology (IT) systems
- Promote improvements in agency work processes
- Facilitate development, implementation and maintenance of sound & integrated IT architecture for the agency

- Promote effective design and operation of all major information resources management processes

- Report to agency directly, not through another official

- CIO to actively participate in:

- a) planning and budgeting deliberations

- b) support of work process redesign in areas being considered for IT investment

- c) development of information technology program performance measures

- CFO/CIO may be same person in agencies where financial systems represent a substantial part of agency's information systems portfolio, so long as mix of CFO/CIO duties is consistent with ITMRA

HUD (Robinson) to OMB (Koskinen) 5/16/96

- CIO reports to Secretary/Deputy Secretary; also serves as IT Director

- .. As CIO responsible for full range of IT services and is responsible for oversight and management of IT investment portfolio

- .. As IT Director reports to Administration A/S for administrative purposes and to continue to build upon accomplishments in IT and information resources management

- CIO/IT Director has the following responsibilities:

- .. chairing TIB and provides support and recommendations to Management Committee on management of IT investment portfolio

- .. voting member of Management Committee

- .. meeting with Secretary/Deputy Secretary quarterly to address the Department's strategic business plans, goal and objectives and review IT investment portfolio which supports those plans goals and objectives

- .. implementing budget-linked capital planning and performance based management of IT systems

- .. promoting (and in some cases initiating) improvements in programmatic work processes

- .. facilitating development, implementation and maintenance of sound and integrated IT architecture

- .. assuring establishment of identifiable lines of accountability for IRM activities, provide of greater coordination among HUD's information activities, and ensure greater visibility of such activities within HUD

- Works with CFO to provide leadership for financial systems improvements and to ensure that financial information systems provide reliable, consistent and timely program performance data

- Dual role allows maximum advantage of the opportunity to build upon the institutional strength of past IRM achievements

- .. move forward aggressively to capitalize on the new opportunities the Act brings to link the management of IT resources to the accomplishment of mission related business objectives

OMB (Koskinen) to HUD 6/6/96: OMB comments on HUD CIO

- CIO reporting to A/S for Administration with reporting relationship also to the Deputy Secretary could be misconstrued; must be made clear within HUD

- HUD CIO responsibility not reflected for:

- a) for analysis and restructuring mission related processes before making significant IT investments
- b) insuring that support functions are redesigned or outsourced where appropriate

HUD (Robinson) to OMB (Koskinen) 7/15/96: Response to OMB's 6/6/96 comments

- Confirms intent to establish CIO/Director IT as one position

- .. HUD's system of institutional authorities and responsibilities support the organizational model and act as checks and balances

- .. TIB, Working Capital Fund and Management Committee provide senior managers with the mechanisms to assure HUD's entire IT investment portfolio is focused on achieving mission critical business objectives.

OMB (Koskinen) to President's Management Council, 8/29/96: What Makes a Good CIO?

- Clear accountability for agency information resources management activities
- Promote coordination among and visibility of the agency information activities
- Promote effective agency operation by encouraging performance-based management
- Foster the effective acquisition and use of information technology.
 - .. in particular, ensure that whenever an IT solution is proposed that the work in question need to be done, cannot be done by others better, and has been redesigned where appropriate
- Lead the agency's capital planning and control process for IT acquisition

Summary of Recommendations for Implementing the CIO Requirements of ITMRA (Attachment to Koskinen memo to President's Management Council)

- No single model for a good CIO, but a range of three types:
 - .. works with the agency's top managers to review and decide on the agency's major IT investments. The CIO may or may not be technical; has a small staff of only a few people; the focus is on strategic matters and new acquisition investments
 - .. runs the internal technical operations
 - .. Has all the IT resources of the organization within his control and is therefore also the chief technical officer in charge of infrastructure delivery
- CIO must report directly to the head of the department or agency
 - .. CIO should be at the highest executive level. The effectiveness of the relationship between the agency head and CIO is a decisive factor in any organization's success
- Must be granted authority commensurate with responsibility
- Serves as the principal adviser to the Secretary on information resources and information systems management

SUBJECT: ADMINISTRATIVE REORGANIZATION

Document: HUD 2020 Management Reform Plan

Date: June 1997

Description: This document describes the six major reforms that redefined the Department of Housing and Urban Development's mission and the structures for achievement of that mission under Secretary Andrew Cuomo. The document was the culmination of an intensive planning process that was set in motion by a Principal Staff Retreat in March 1997 and that included substantive concept proposals by a variety of Change Agent Teams drawn from HUD's Headquarters and Field staff. Implementation of this plan fundamentally changed how HUD does business and affected nearly all organizations and employees within the Department.

HUD 2020

Management Reform Plan

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SUBJECT: HUD CHIEF PROCUREMENT OFFICER

Document: Procurement and Contract Integrity Board Proposal

Date: February 4, 1998

Description: This proposal from Deputy Secretary Saul N. Ramirez, Jr. to Secretary Andrew Cuomo laid the foundation for the establishment of the office of HUD's Chief Procurement Officer. The CPO's initiatives have been of tremendous importance in ensuring the integrity of the procurement process while simultaneously providing much more modern and flexible procurement vehicles.

Procurement and Contract Integrity Board Proposal

Introduction

Secretary Cuomo has directed that the Department make major changes and improvements in the policies, procedures and operations of the HUD procurement and contracts function. The purpose of this paper is to provide a new policy framework for procurement and contract management.

The new structure for the Department's procurement and contracting operations will be based on the HUD 2020 Management Reform Plan to:

" improve HUD's procurement system to insure accountability, while responding flexibly to changing program needs. The aim of reform is for staff to have the resources they need to serve their customers, while safeguarding taxpayer dollars with a system that ensures quality and value."

To this end, the National Academy for Public Administration has been contracted to assist the Department in making needed improvements.

The Inspector General, in a September 30, 1997 Audit Report on HUD Contracting, has identified seven areas needing improvement: (1) better planning, need determination and periodic assessments; (2) cost consciousness; (3) contractor oversight and monitoring; (4) prohibited personal services and inherently governmental functions; (5) better coordination of data system; (6) timely contract close-out; and (7) review of interagency agreements.

Procurement and Contract Integrity Board (PCIB)

This is a proposal for establishment of the HUD Procurement and Contract Integrity Board (PCIB) by the Secretary. The mission of the Board will be to:

1. Develop and recommend the Secretary's approval of department-wide procurement and contracting policies and guidelines.

2. Develop a strategic plan and priorities for multiyear, as well as annual procurement.
3. Develop and institute policies and standards for assessing procurement and contracting needs and plans, including legal sufficiency reviews and requirements.
4. Develop and implement a system and process for procurement and contract management oversight, including internal contracting management qualifications, training and certification requirements.
5. Develop and issue directives and guidelines for organizational and operational improvements e.g. process changes, financial systems integration and similar corrective actions.
6. Develop and conduct annual procurement and contract management evaluations and prepare recommendations for systemic and other improvements.

Roles and Responsibilities

The Secretary has the overall authority for approving and establishing the HUD Procurement and Contract Integrity Board (PCIB). Upon his approval, the following roles and responsibilities shall be assigned:

1. The Deputy Secretary will chair the Board, schedule meetings, set the agenda and oversee the preparation of plans, policies, guidelines and other directives, as required.
2. The Chief of Staff will serve as co-deputy chair of the Board and assist the chair in performing leadership functions.
3. Chief Financial Officer will serve as co-deputy chair of the Board and assist the chair in performing leadership functions.
4. The General Counsel will serve as a member of the Board and provide legal advice and guidance.

5. The Assistant Secretary for Administration will serve as a member of the Board and ensure that the appropriate administrative policies and requirements are implemented.
6. The Departmental Procurement Executive will provide executive secretary services for the Board and will execute approved policies, guidelines and other directives.
7. Principal Staff will provide proposals, recommendations and other information requested by the Board; and, carry out approved procurement and contracting policies, procedures and guidelines in their respective organizations.
8. Managers, Supervisors and Employees will carry out the procurement and contracting policies, procedures and requirements which are approved and issued by the Board.

Procurement Integrity Process

The Board will plan, develop and coordinate a department-wide operating plan for carrying out its mission and functions, including:

1. Annual Procurement Call

As part of the annual budget planning process, each principal organization will prepare and submit proposed procurement plans for the Board's review and recommendations. The initial procurement call will set forth proposed procurement for the multiyear Strategic Procurement Plan. The Departmental Procurement Executive will plan, develop, and coordinate the annual procurement call or planning process.

2. Management Committee Review of the Departmental Procurement Strategic Plan

The Board will oversee development of the HUD Procurement Strategic Plan based on an analysis and recommendations for

presentation to the Management and final approval by the Secretary.

The Departmental Procurement Executive will prepare the Department's Procurement Strategic Plan based on analysis and recommendations for proposed procurements, both short and long range.

3. Procurement Integrity Reviews

The Board will review and approve the Procurement Executives proposals for issuing policy guidelines and standards for conducting annual and periodic procurement needs assessments and cost-benefits analyses. Review results will be used to plan and develop Board recommendations for procurement priorities and policies.

4. Contract Management Monitoring

The Board will review and approve the Procurement Executive's plans and proposals for establishing policy guidance and schedules for conducting contract management qualifications and performance reviews, training needs assessments and annual/biannual competency certifications.

5. Procurement Evaluation

The Board will review and approve the Procurement Executive's plans and proposals for establishing the policy guidelines and directions for conducting an annual evaluation of procurement and contracting operations, including reviews of multiyear contracts, interagency agreements, outstanding audit recommendations and other related issues. Evaluation outcomes will be used to develop and implement improvements in contract administration and management.

6. Annual Procurement Integrity Report

The Procurement Executive will plan and direct the development of an annual report which delineates the Department's progress, problems and plans for continual improvements in the procurement and contracting process. The board will review and approve issuance of the report and monitor improvement activities.

In conclusion, this proposal provides a viable, realistic and comprehensive approach for implementing the HUD 2020 Management Reform Plan goals and objectives for improving the leadership and management of the Department's procurement and contracting functions. Moreover, the Board can also provide an objective review mechanism for evaluating contracting improvement recommendations from the Inspector General, General Accounting Office and the National Academy for Public Administration.

Department of Housing and Urban Development

Departmental Procurement Executive

Introduction:

The Office of the Procurement Executive shall be responsible for the development, coordination, administration and oversight of procurement policies, procedures and programs which govern the acquisition of quality goods and services in support of the overall mission of the Department of Housing and Urban Development.

Duties and Responsibilities::

- Plans, develops, and implements the Department's Strategic Procurement Plan, as well as the policies and guidelines for compliance with Department-wide procurement and contracting policies, procedures and guidance.
- Develops and provides reports, plans and policy recommendations for the review and consideration of the HUD Procurement and Contract Integrity Board. Develops and coordinates the Board's business agenda and executes approved actions.
- Oversees development of acquisition goals, guidelines and innovation by fostering acquisition streamlining, open communications and best practices and by supporting the Department's diversity objectives through the acquisition

process.

- Oversees management of Department-wide automated procurement systems and collecting data for use by internal and external management and oversight bodies, such as the Congress, the Office of Management and Budget (OMB), the General Accounting Office (GAO), the Small Business Administration, etc.
- Develops and maintains policy guidance for Department-wide acquisition management and performance measurement programs to include measuring and evaluating Office of Procurement and Contract and program offices performance against stated goals.
- Represents the Department in all external procurement policy matters, including liaison with OMB, the Office of Federal Procurement Policy, GSA and the Civilian Agency Acquisition Council which maintains the Federal Acquisition Regulations (FAR).