# THE CENTERS FOR MEDICARE & MEDICAID SERVICES

## Technical Review Board Charter

## April 29, 2009

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# 1.    INTRODUCTION

The Technical Review Board (TRB) is established to assist the CMS Chief Information Officer (CIO) and CMS IT Investment Review Board (ITIRB) in project level IT reviews.  The TRB will serve as the governing body responsible for performing checkpoint reviews defined in the CMS Integrated IT Investment and System Life Cycle Framework.  The framework is also known as the Investment Life Cycle (ILC).  The ILC directly supports a key CIO responsibility for "developing, maintaining, and facilitating the implementation of sound and integrated information technology architecture". The TRB is charged with applying uniform and repeatable review practices in achieving enterprise-wide systems integration.  The TRB is comprised of IT Subject Matter Experts (SME) within the Office of Information Services (OIS) and is chaired by the Chief Technology Officer (CTO).

# 2.    PURPOSE

The Mission of the TRB is to assist the CIO and ITIRB in project level IT reviews by providing the highest quality services that adhere to CMS governance of IT standards and policies, which enable the delivery of optimized solutions for the Agency. The TRB mission directly supports 2 of the 4 OIS Vision Goals:

- Provide technology leadership to deliver business value and anticipate change to meet the current and long-term needs of CMS programs.
- Implement and communicate a CMS IT governance program that ensures and secures cost effective, sustainable systems to support the agency's business.

The Vision of the TRB is to enable cost effective, innovative implementation; examine opportunities for reuse, consolidation, integration; and information sharing of all CMS IT projects to deliver high-value health care to key stakeholders of the CMS programs.

The expected benefits of the TRB include the following:
- A single structured governance board that provides a consistent level of guidance; ensuring integrity, uniformity and repeatability of the investment life cycle review process
- Reduction of ad-hoc processes and reviews
- Development of secure applications
- Aid in the maturity of CMS IT practices
- Enhance visibility of IT projects to allow proactive planning of required IT resources
- Accelerated responses to individual IT project needs.
- Improved system integration within CMS's Approved Architecture.
- Allow for better alignment with CMS's strategic vision of innovation

# 3.    SCOPE AND AUTHORITY

## 3.1    Scope

The entire life cycle of a CMS IT investment is covered in the 10 phases of the ILC from initiation to disposition.  The OIS Intake performs the initial assessment of each CMS IT investment. Hence, the TRB will review CMS IT Projects as they progress through the life cycle as referred by the OIS Intake, regardless of their funding level or level of effort.  The project team will brief the TRB on the salient information that is pertinent to the review being held. The scope of the TRB will include the following functions:

- Conduct Project Startup (PSR) , Preliminary Design (PDR) and Detailed Design (DDR) Reviews
- Serve as a forum for adjudicating Technical compliance questions and issues
- Foster Enterprise-wide solutions
- Collaborate with other CMS governing bodies as appropriate
- Serve in an advisory capacity and make recommendations to the Capital Planning process, ITIRB and ESCs.

To better align with the TRB Mission and Vision, the following activities will be performed under the direction of the CTO.

- The continual refinement of the TRA, including the review and approval of new technical standards
- Review, assess and render decisions on new information technology proposals and recommendations
- Establish and maintain IT enterprise-wide strategies
- Selection of candidates to serve on the TRB.

## 3.2    Authority

The CIO envisions the formation of a collaborative team of SME's to leverage their industry knowledge and subject matter expertise to assist the CIO and ITIRB in the governance of CMS's IT management and technology solutions. The TRB operates under the purview of the CIO and the CTO with membership drawn from all groups within OIS.

The TRB is the governing body at key project decision points throughout an IT Project's life cycle. The TRB will arbitrate compliance questions and concerns as well as render decisions and make exception recommendations to the CIO, ITIRB, and ITIRB Executive Steering Committees.

Approval determination is made by the TRB based upon the compliance with the CMS IT Framework, CMS Enterprise Architecture principles, CMS policies, procedures, standards, and guidelines.

## 4.     MEMBERSHIP

Membership in the TRB can be rotated on an as needed basis.  Members of the TRB possess the following characteristics:

- Motivated to solve problems not just at the individual project level, but also able to determine solutions at the enterprise level,
- Willing to be constantly challenged to produce innovation,
- Able to learn and advance their breadth and depth of knowledge and experience in the preparation and performance of their review function,
- Willingness to be open and seek the advice of more senior Technical Advisors (TA) or when expertise is outside of OIS,
- Excellent oral communication and writing skills.
- Understand how to work collaboratively with diverse communities in the agency and with the agency's stakeholders and business partners
- Exhibits personal initiative to support the TRB functions and overall ILC process

### 4.1     Committees and Teams

The TRB consists of an Executive Committee, a Core Team, and Subject Matter Experts (SMEs).

### 4.2     TRB Executive Committee

The TRB Executive Committee will be comprised of:

- TRB Chair: CTO,
- TRB Vice-Chairs, and
- TRB Program Manger (non-voting)

The TRB Vice-Chairs will act on behalf of the TRB Chair in the TRB Chair's absence.

### 4.3     TRB Core Membership:

The TRB Core Membership will be comprised of:

- The Executive Committee,
- One member who is a Certified Information Systems Security Professional (CISSP), and
- At least one designee from each OIS Group, appointed by the Group Director

### 4.4     TRB Subject Matter Experts (SME)* (non-voting):

The TRB SMEs will act as a collaborative team to provide technical expertise in all aspects of the more technical standards, processes and practices specific to CMS and the healthcare sector.  SMEs, while not voting members, will be an integral part of the team by providing input that assists the TRB when evaluating projects. The TRB chair will identify the need for subject matter expertise on a project by project basis and request support from the OIS Groups as needed.  The Group Directors will identify a SME, who will be accepted by the CTO, and subsequently, the SME will be invited by the TRB chair or Vice-Chairs to participate.  SME participation is intended to be

project specific and temporary.  The number of SMEs will vary based on the IT project being presented or reviewed.

## 5.    RESPONSIBILITIES

### *5.1    Technical Review Board*

Initial responsibilities of the TRB and TRB members include the following activities:
- Active participation at the TRB sessions
- Offer constructive feedback
- Work as an integrated team
- Provide timely review of materials and artifacts
- Serve as TRB Team Lead to develop written TRB review opinions, recommendations and approvals and communicate back to the project teams.
- Garner and share experiences and lessons learned with the TRB and respective organizational groups

Note:  TRB Review letters may be drafted or composed by TRB members and/or designated TRB SMEs.

#### 5.1.1   TRB Executive Committee

The TRB Chair and Vice-Chairs will perform the following activities and functions:
- Provide overall leadership and guidance to the TRB
- Ensure proper expertise is represented at reviews
- Ensure transparency of the TRB process
- Review and filter new requests for the TRB
- Ensure timely and accurate communication with customers
- Communicate status to management
- Ensure IT Projects align with the Federal Enterprise Architecture (FEA)
- Ensure IT Projects align with the TRA
- Assist business owners with ILC strategy
- Provide input to the ILC steering committee as needed
- Support the CTO in consultation with projects that may need technical assistance in an area not specifically addressed by the ILC.

#### 5.1.2   TRB Core Team

The TRB Core Team will support the TRB by performing the following activities:
- Attend all TRB Reviews
- Determine, via a vote, if an IT Project is compliant with the ILC Framework  and technical standards and guidelines
- Provide input to final TRB Decisions
- Draft decision letters communicating the findings and recommendations to the project team/owner
- Make recommendations for further reviews

- Support the CTO in consultation with projects that may need technical assistance in a manner not specifically addressed by the ILC

### 5.1.3 TRB SMEs

TRB SMEs will support the TRB by performing the following activities:
- Attend TRB Reviews as requested
- Provide topic area expertise to the Core Team to assist in determining compliance
- Provide input and recommendations to final TRB Decisions and Review Letters as necessary

### 5.1.4 TRB Program Manager (PM)

The TRB PM will support the TRB by performing the following functions:
- Coordinate adhoc requests to come before the TRB
- Coordinate and schedule TRB review sessions
- Distribute official TRB letters and artifacts
- Notify all required TRB members and Project level personnel of upcoming Reviews Scheduled
- Coordinate, prepare and post all TRB materials, i.e. Agendas, briefing materials from participants, minutes, and final letters of the TRB
- Distribution of all materials, both hard and soft copy to all required TRB members.

## 5.2 Engineering Review Panel (ERP)

The Engineering Review Panel (ERP) is a standing Industry Advisory Group established under the Enterprise Systems Development (ESD) IDIQ contract to CMS. The ERP operates under the purview of the CIO and CTO. Membership consists of at least one representative from each of the 16 prime contractors under the ESD. The ERP was established to enable successful planning, engineering, implementation, maintenance, management, and effective, innovative and technologically sound CMS Information Technology (IT) projects and to ensure all projects under the ESD IDIQ have the greatest possibility for success with minimal risk in following the CMS ILC and Technical Reference Architecture (TRA).

The ERP, at the discretion and direction of the TRB, will:

- Establish ERP review points within the project management lifecycle for pre-review of project deliverables, artifacts, or other technical documentation.
- Provide informed collaboration reports from these assessments to the TRB prior to their formal review process.
- Receive specific assessment or research requests from the TRB.
- Propose and vet recommendations for process and technical improvements.

# 6. OPERATING PROCEDURES

## 6.1 Meetings

The TRB will schedule and conduct weekly planning, project review, and post review meetings.  A description of each follows:

- TRB Program Manager
  - Provide project teams with review template
- Planning Meetings
  - Executive Committee will be in attendance
  - Review and prepare for upcoming reviews and sessions
  - Schedule reviews and sessions as needed
  - Assign TRB team lead for Project Reviews and preparation of Final TRB Letters
  - TRB members and SMEs may be in attendance as well.

- Project Reviews
  - TRB Core Team and invited SMEs and CMS project team will be in attendance
  - The TRB will be briefed by the project team on the salient information that is pertinent to the review.  A formal outline and guidelines will be provided in advance of the reviews outlining the information and the level of information, which should be presented.
- Post Reviews
  - TRB Core Team and SMEs in attendance at the review will discuss the presentation, accuracy of the materials provided and adherence to CMS IT governing standards, etc.
  - All voting members will vote on project decisions.
  - TRB Team Lead will gather input from all TRB participants and prepare a final letter for review by the TRB team. Once approved by the TRB, the final letter will be distributed by the TRB PM to all participants.

## 6.2 Voting

- The TRB uses a consensus process.
- The TRB chair or a vice-chair is required to be in attendance.
- In any case where no consensus is reached, the TRB chair or vice-chair (when acting on behalf of the TRB chair) will work with the CIO to inform the CIO of the issues and make a recommendation.  The CIO will render the final decision.

## 6.3 Reporting

- The TRB PM will be responsible for the preparation, distribution and posting of TRB agendas, briefing materials from participants, minutes, and final letters of the TRB.

- All TRB participating members will be responsible for providing all necessary materials to the TRB PM so that information sharing is available in a timely manner.

## *6.4    Repository*

- All working documents will be posted on the TRB designated repository for members review and are available for comments and sharing.
- All Final Letters will be posted in the TRB repository.
- All posting will be completed by the TRB PM or by his/her designated representative.

## *6.5    Communications and Notifications*

- All official TRB communications and notifications will be maintained in the TRB repository.
- It is the responsibility of each member of the TRB to ensure that their contact information is current.

## AUTHORIZATION AND SIGNATURES

The TRB derives its authority from the CIO and is charged with supporting the CIO, ITIRB, and the agency in applying uniform and repeatable review practices in achieving enterprise-wide systems integration.

| /S/ | Date: April 29, 2009 |

**Ms. Julie Boughn**
**Chief Information Officer and**
**Director, Office of Information Services**

| /S/ | Date: April 29, 2009 |

**Mr. Henry Chao**
**CMS Chief Technology Officer**