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Unemployment Insurance (UI) Information Technology (IT) Modernization Pre-Implementation Planning Checklist Report

U.S. Department of Labor
Employment and Training Administration
Form ETA 9177

UI IT Modernization Pre-Implementation Planning Checklist Report	
State Name:	**Date of Submission:**
Project Name:	
Contact Information: **(Name, Title, Address, Phone Number. Email Address)**	

Summary of Project:

1. Functionality is Fully Available or Workaround in Place

    1.1. All benefit and tax functions have been fully tested and are fully operational (unless work around(s) planned for and tested) including, but not limited to:

        1.1.1. Claims Filing;
        For all supported programs: Regular UI, Unemployment Compensation for Federal Employees, Unemployment Compensation for Ex-Servicemembers, Combined Wage Claim, Disaster Unemployment Assistance, Trade Readjustment Allowances, any extensions, etc.

        1.1.2. Monetary determinations;

        1.1.3. Non-monetary determinations
        Including separation and non-separation issues including automated holds that flags issues requiring adjudication

        1.1.4. Continued Claims processing;

        1.1.5. Benefit payment mechanisms;
        Including (as applicable): direct deposit, debit card, and checks

        1.1.6. Employer liability determinations;

        1.1.7. Tax rate computation;

        1.1.8. Employer Delinquency Enforcement;

        1.1.9. Employer Tax and Wage report processing;

        1.1.10. Benefit Charging;

        1.1.11. Appeals.

    1.2. Federal reporting functions, including Benefits Accuracy Measurement (BAM) and UI Data Validation, have been fully tested and are fully operational

    1.3. State UI program management reporting functions, such as tracking of initial and continued claims by age, management dashboard, and ad hoc and system logging reports, have been fully tested and are fully operational

    1.4. Interfaces with call center operations have been fully tested and are fully operational

    1.5. Interstate Connection (ICON) network interfaces have been fully tested and are fully operational

1.6. Other external interfaces, such as those required to retrieve wage record data, automatic cross matches for identity or other integrity purposes, have been fully tested and are fully operational

1.7. System generated forms and correspondence have been fully tested and are fully operational

1.8. Printing processes have been fully tested and are fully operational

1.9. Imaging and scanning, as needed, have been fully tested and are fully operational

1.10. Batch Processes, including execution timelines, have been fully tested and are fully operational

1.11. Workflows have been verified and adjusted by conducting thorough review of system generated issue flags/triggers to ensure they are necessary

1.12. System error handling is in operation and will:

1.12.1. Ensure process is in place to identify, track, and address system errors;

1.12.2. Procedures developed to document and communicate any system work-around or resolution;

1.12.3. Ensure Help Desk available to support staff

1.12.4. System error messages are understandable

1.13. Ensure workarounds are established and fully tested and exercised with staff for system functionality that is deferred or necessary to address known system issue

1.14. Business knowledge has been transferred to appropriate agency/staff on how to operate system, including role management, configuration settings and management, dashboards and reporting

1.15. End user support, problem reporting and resolution protocols are in place

1.16. All user roles have been configured/set-up and tested

1.16.1. Users with appropriate permissions can easily change staff role assignments directly in the application

2. External Alternate Access Options and Usability Issues Addressed

   2.1. Alternative Access Options
   In compliance with ETA guidance, the new system supports alternative access options for individuals with barriers to filing by phone or on-line, such as those with Limited English Proficiency (LEP), disabilities, literacy issues including computer literacy, and computer access issues, etc.

   2.2. Websites and other forms of communications, such as brochures and posters, are in place to clearly identify alternative access points that effectively communicate to the population with such barriers as described in section 2.1

   2.3. All staff are fully trained on how to assist individuals with access barriers to alternative filing options

   2.4. Staff and customer system access to new system are defined, including processes to migrate existing credentials and/or establish new credentials

   2.5. Usability

      2.5.1. Websites meet 508 compliance standards and are translated for identified significant population language groups within the state, including correspondence as applicable.

      2.5.2. On-line Web content is clear, understandable(preferably tested by appropriate customer population)

      2.5.3. Ensure Interactive Voice Response (IVR) phraseology is clear and understandable

3. Policies/Procedures Development and Dissemination

    3.1. Policy and procedural changes coinciding with UI system modernization are developed and disseminated

    3.2. Policies for data security, including those for handling privacy and confidential data are developed and disseminated

    3.3. Policies for data retention and data disposal are developed and disseminated

    3.4. Staff is fully trained on new policies and procedures

    3.5. Any updates to organizational structure are coordinated with human resources department and disseminated agency-wide

    3.6. Any new or modified roles are clearly defined, and staff are appropriately trained

4. Technical Preparation

4.1. Data conversion is complete and successful, including:

4.1.1. New system results checked and reconciled against legacy system results:

4.1.2. Spot checks conducted for particular areas of interest:

4.1.3. System blackout period is benchmarked, if appropriate

4.2. Independent Verification &Validation conducted, as needed

4.3. Bridging processes between applications/systems in place as needed (for example, new benefits system to legacy tax system or the inverse)

4.4. Comprehensive User Acceptance Testing (UAT)

4.4.1. UAT conducted with positive results and conducted again following any additional system changes

4.4.2. System defects are systematically tracked and remedied

4.4.3. Defect tracking processes are in place post “go-live” (in conjunction with development vendor)

4.4.4. System help verified

4.4.5. Logging and exception handling verified

4.5. Capacity developed to rapidly identify system flaws and make immediate fixes

4.6. Contingency / Back-up plan is in place if new system fails – particularly if no overlap of legacy and new system at “go live” point

4.7. Incoming phone capacity (lines and staff) are adjusted for anticipated increases in call volume, including:

4.7.1. Call Centers, as applicable;

4.7.2. Any other Agency unit that will conduct triage of system issues with customers

4.8. “Go-Live” decision points (show stoppers) outlined and followed

4.9. System performance is checked under peak user loads, including complex transactions, prior to “go-live”

4.10. System availability

4.10.1. Demonstrated system availability under heavy loads for sustained period of times

4.10.2. Monitor computing resource consumption (processors, memory, Input/Output, etc.)

4.11. IT system operations reporting is available, including management dashboard, ad hoc reports, and system logging and audit trails, as needed

4.12. Production configuration defined and in place

4.13. Automated production build /testing/environment promotion process is in place for post-deploy defect fixes and enhancements

4.14. All agency users and their roles established and verified in the system

4.15. Data and System security verified and validated, including systems required for data exchanges for Social Security Administration and Treasury Offset Program interfaces

4.16. Other internal system controls are verified and validated to ensure security and confidentiality of data

4.17. IT knowledge transfer to ensure agency can maintain and support the system

4.18. Transition planning and execution post-warranty or maintenance phase is validated with vendor

4.19. Service delivery strategies at “go-live”

4.19.1. Ensure service delivery strategies are clearly identified, made known to staff, and fully communicated to customers

4.19.2. Ensure adequate communications regarding expectations to customers if black-out periods are utilized

5. Call Center /Customer Service Operations

    5.1. Call center standard operational procedures adapted, as appropriate

    5.2. Call Center Staff and/or customer service representatives (CSRs) fully trained, including:

        5.2.1. CSRs/agents participated in system UAT

        5.2.2. CSRs/agents, supervisors, managers trained in the use of the new system

        5.2.3. Cross train staff and/or staff augmentation, particularly to manage inquiries

    5.3. Modernization system and operations help desk information provided to all front-line CSR staff

    5.4. Front-line and management staff know triage process when a system issue arises, and issue escalation processes are clearly defined and understood by staff

    5.5. Scheduled team meetings daily and, as needed, to address:

        5.5.1. New System Issues

        5.5.2. Customer Complaints

        5.5.3. New operational or procedural issues

6. Staffing/Staff Training on New System Operations

    6.1. Training materials and tools to support new processes (desk guides, handbooks, etc.) are fully developed and provided to management and staff

    6.2. Management and staff fully trained on new system features and operations broadly and in relation to their specific job responsibilities.

    6.3. Additional Staffing Needs Identified and Secured to address:

        6.3.1. Call Center(s) (calls can dramatically increase during a conversion)

        6.3.2. Adjudication Staff (modernized systems tend to contain more automated flags that raise issues requiring adjudication)

        6.3.3. Appeals Staff (the number of appeals may increase following a conversion as a result of new automated processes that may impact claimants’ benefits or employers’ liability)

        6.3.4. Other support functions such as integrity-related activities

7. Staff and Customer Help Desk Support

    7.1. Procedures established for escalation processes, triage processes of system technical/functional issues, communication channels, and coordination with Call Centers, as applicable

    7.2. Dry-runs of procedures with Help Desk staff are conducted

    7.3. Adequately staffed with modernization testers / Subject Matter Experts/Business Analysts, and Project Team members

    7.4. Contact information is published and disseminated to appropriate personnel

    7.5. Procedures to categorize and track system issues based on help request are in place (e.g., credential/access issue, performance, questions needing clarification, etc.)

8. Management Oversight

   8.1. Managers are fully trained on management features and reporting processes in the system

   8.2. Managers are prepared to support staff if system issues arise

   8.3. Additional management meetings are scheduled during transition to identify and resolve issues

9. Vendor Support/Communications

    9.1. Process for addressing post implementation system fixes with vendor is in place prior to implementation

    9.2. Process for tracking system and scheduling post-implementation system issues are in place

    9.3. Routine, daily meetings with the vendor during transition scheduled to identify and prioritize system issues for as long as needed

    9.4. Ensure a process to track the implementation of deferred functionalities

10. Communications

10.1. Staff Communications

10.1.1. Staff are fully briefed on implementation plan (in addition to being fully trained)

10.1.2. Staff are provided with clear instructions on how to handle system issues if they arise

10.2. Claimant and Employer Communications

10.2.1. Employer and Claimant outreach regarding roll-out of new system

10.2.2. System "go-live" date disseminated

10.2.3. System black-out period, if needed, and methods to conduct business during this phase will be clearly communicated

10.2.4. Agency contact information is disseminated

10.2.5. System "how-to information" provided

10.3. Public Communications

10.3.1. State stakeholders notified in advanced

10.3.2. System "go-live" date disseminated

10.3.3. System black-out period, if needed, is communicated

Certification

Certifying Official: **(Name, Title)**			
Signature:			
Telephone Number:		**Date:**	
Email Address:			