

OMB Control Number: 1205-0527

Expiration Date: XX/XX/XXXX

ATTACHMENT II

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

Employment and Training Administration
United States Department of Labor

ETA 9177

This reporting requirement is approved under the Paperwork Reduction Act of 1995, OMB Control No. 1205-0527, expiring XX/XX/XXXX. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. State Workforce Agency reporting burden for this collection of information is estimated to average 2 hours for reviewing, 20 hours for planning, and 160 hours for reporting. This includes time for reviewing instructions, searching existing data sources, and gathering and reviewing the collection of information. This collection of information is for general program oversight, evaluation, and performance assessment. Responses are required to obtain or retain a Federal benefit. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Employment and Training Administration, Office of Unemployment Insurance, 200 Constitution Avenue, NW, Room S-4524, Washington, D.C. 20210.

I. GENERAL INSTRUCTIONS

The unemployment insurance (UI) information technology (IT) Modernization Pre-implementation Checklist Report is collected to assist state UI agencies in preparing to launch a modernized UI IT system, which supports administration of UI Benefits and/or UI Tax operations. Because the launch of an UI IT system is critical to a state's ability to administer its UI program, the U.S. Department of Labor's Employment and Training Administration (ETA) requires any state that is preparing to launch a new UI IT system to certify that it has reviewed and accomplished or has developed an appropriate plan addressing the items detailed in the Pre-Implementation checklist. ETA will use the checklist to identify any technical assistance needs of the state UI agency prior to an implementation of a new UI IT system.

The ETA 9177 Report is required when a state is modernizing a major component of a UI IT system or systems. A major component can be a full benefits or tax system, or it can be a significant component subset, such as continued claims certification or adjudication. Modernization can be of a single or multiple UI systems (e.g., Benefits, Tax, Appeals, etc.). States may decide to do all systems at one time or use an iterative or modular approach to modernize. Any state that is preparing to launch a modernized system must certify that it has reviewed and accomplished, or has developed an appropriate plan addressing, the items detailed in the ETA 9177 Report. If a section of the report is not applicable to the modernization project, the state must indicate that the section is not applicable. If a section is left blank, then it is deemed missing during ETA's review, and the report will be regarded as incomplete. ETA will provide comments back to the state, and will request the state to revise and resubmit the report.

An ETA 9177 Report submission is not necessary when a state is merely upgrading sub-components of a system, such as enhancing the front-end interface for claims intake. Other instances where a state is not required to submit an ETA 9177 Report include ongoing maintenance activities: database upgrade, IT server upgrades, replacing any obsolete hardware/software, etc.

II. DUE DATES

The UI IT Modernization Pre-Implementation Planning Checklist Report must be completed and submitted to ETA approximately 180 days (6 months) prior to the state's projected implementation "go live" date. Please note that Testing and Training activities may continue after the submission of the report.

III. SUBMISSION PROCEDURES

The UI IT Modernization Pre-implementation Planning Checklist Report and any supporting documentation must be submitted by email to the appropriate ETA Regional Office. The ETA Regional and National Office will work collaboratively in reviewing the Report and supporting documents. Any clarifications or follow-up will be conducted via email and conference calls within 30 days upon receipt of the Report. Any modifications to the original Report must be submitted by a state through the ETA Regional Office.



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Instructions for Completing the UI IT Modernization Pre-Implementation Planning Checklist Report

In general, the document contains the following four (4) parts:

1. Cover Page
2. State General Information
3. UI IT Modernization Project Categories
4. Certification

Sections No. 2 (“State General Information”) and No. 3 (“UI IT Modernization Project Categories”) require fillable content. The instructions below, address how the state is to complete the report.

State General Information

The State General Information section consists of the following five (5) sub-elements in a table format.

- 1. State Name:**
Enter the name of the State Workforce Agency (SWA) who is providing the information (e.g., State of Mississippi).
- 2. Date of Submission:**
Enter the date when the completed report is submitted. Date format must follow mm/dd/yyyy format (e.g., 06/13/2015).
- 3. Project Name:**
Enter the proper name of the UI IT modernization project (e.g., The ReEmploy USA Consortium).
- 4. Contact Information:**
Provide the contact information (i.e., **Name, Title, Address, Phone Number, Email Address**.) for the person who will serve as the primary point of contact for any questions or follow up that ETA may have regarding the report. This may be a different person than the state certifying official. It may be the state official who is the project lead responsible for the day-to-day operation and implementation of the UI IT Modernization project.
- 5. Summary of Project**
Provide an executive summary of the UI IT Modernization project. This information will include the project title and purpose, the project timeline and key milestones, and a narrative description of the project implementation status.

UI IT Modernization Project Categories

This comprehensive checklist denotes critical functional areas that a SWA should verify prior to launching a modernized UI system. This includes, but is not limited to, technical IT functions and UI business processes that interface with the new system. The list of critical areas identified in the checklist comprises of the following eleven (11) distinct project categories with associated sub-elements including:

1. Functionality and Workarounds
2. External Alternate Access Options and Usability Issues Addressed
3. Policies and Procedures
4. Technical Preparation for System Implementation
5. Call Center /Customer Service Operations
6. Business Process
7. Help Desk
8. Management Oversight
9. Vendor Support/Communications
10. Communication Processes and Procedures
11. Labor Market Information Federal Reporting Functions

For every sub-element in the ETA 9177, the SWA is to provide supporting content to demonstrate that the SWA has addressed the specific sub-element. For each sub-element, ETA expects the SWA to address the issue including, but not limited to, the following:

- An overall status report;
- A brief report explaining the status of the project as it relates to the particular sub-element;
- Attach explanations of any workarounds concerning the processes in the sub-element;
- Attach explanations if implementation of the new system concerning specific processes for the sub-element will be delayed or deferred;
- Attach explanations for added clarity and/or to support a narrative;
- Mitigation proposals for addressing any problems;
- New project timelines if applicable; and/or
- Any discussion of identified technical assistance needs for the successful completion of the project.



Certification

The Certification section consists of the following five (5) sub-elements in a table format.

1. **Certifying Official:**
Provide the name and title of the state official who is certifying the submission of the report to ETA.

2. **Signature:**
Provide the signature of the state official who is certifying the submission of the report to ETA.

3. **Telephone Number:**
Provide the area code and telephone number of the state official who is certifying the submission of the report to ETA. The number should be in the following format:
(###) ### - ####

4. **Date:**
Provide the date when the certifying official signed the Report. Date format must follow mm/dd/yyyy format (e.g., 06/13/2019).

5. **Email Address:**
Provide the email address of the state official who is certifying the submission of the report to ETA.