UI IT Modernization Pre-Implementation Planning Checklist

Functionality is Fully Available or Workaround in Place for the following:				
Before Go-Live	**After Go-Live**	**Tasks**	**Status**	**Comments**
		All benefit and tax functions have been fully tested and are fully operational (unless work around planned for and tested) including, but not limited to:	Not Started	
		1. Claim Filing (For all supported programs: UI, Unemployment Compensation for Federal Employees, Unemployment Compensation for Ex-Servicemembers, Combined Wage Claim, Disaster Unemployment Assistance, Trade Readjustment Allowances, any extensions, etc.);		
		2. Monetary determinations;		
		3. Non-monetary determinations (separation and non-separation issues);		
		4. Continued Claims processing;		
		5. Benefit payment mechanisms (direct deposit, debit card, checks);		
		6. Employer liability determinations;		
		7. Tax rate computation;		
		8. Employer Delinquency Enforcement;		
		9. Employer Tax and Wage report processing;		
		10. Benefit Charging; and		
		11. Appeals.		
		Federal reporting, including data validation		
		State UI program management reporting (for example: tracking of initial and continued claims by age), management dashboard, ad hoc and system logging reports, as required		
		Interfaces with call center operations;		
		State Information Data Exchange System (SIDES) interface		
		Interstate Connection (ICON) network interface		
		Other external interfaces, such as those required to retrieve wage record data, automatic cross matches for identity or other integrity purposes, etc.		
		System generated forms and correspondence		
		Printing processes		
		Imaging and scanning, as needed		
		Batch Processes, including execution timelines		
		Workflows verified and adjusted, as needed		
		o Conduct thorough review of system generated issue flags/triggers to ensure they are necessary and assess staffing needs to support any additional work		
		System error handling		
		o Ensure process is in place to identify, track, and address system errors; develop, document, and communicate any system work-around or resolution		
		o Help Desk available to support staff		
		For system functionality that is deferred or necessary to address known system issues, ensure workarounds are established and fully tested and exercised with appropriate staff before go-live		
		Business knowledge is transferred to appropriate agency/staff on how to operate the system, including role management, configuration settings and management, dashboards and reporting		
		End user support, problem reporting and resolution protocols are in place		

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External Alternate Access Options and Usability Issues Addressed				
Before Go-Live	After Go-Live	Tasks	Status	Comments
		The new system must support alternative access options for individuals with barriers to filing by phone or on-line such as those with Limited English Proficiency (LEP), disabilities, or with literacy issues including, computer literacy, computer access issues, etc. Such options must be configured so as to avoid any meaningful comparative reduction of service for individuals using alternative access options, such as significantly increased waiting times or other delays , limited hours of access, or significantly reduced access to staff, etc.		
		Websites and other forms of communications (for example, brochures, posters) in place to clearly identify alternative access points that effectively communicate to the population with such barriers		
		All staff are fully trained on how to assist individuals with access barriers to alternative filing options		
		Staff and customer system access to new system defined		
		o Migrate existing credentials or establish new credentials		
		Other Usability		
		o Websites meet 508 compliance standards and are translated for identified significant population language groups within the state		
		o On-line Web screen text is clear, understandable (preferably tested by appropriate customer population)		
		o Interactive Voice Response (IVR), if applicable, phraseology is clear and understandable		

Policies/Procedures Development and Dissemination				
Before Go-Live	After Go-Live	Tasks	Status	Comments
		Policy and procedural changes coinciding with UI system modernization are developed and disseminated		
		Policies for data security are developed specifically those for handling privacy and confidential data are developed and disseminated		
		Policies for data retention and data disposal are developed and disseminated		
		Staff is fully trained on new policies and procedures		
		Any updates to organizational structure are coordinated with human resources department and disseminated agency-wide		
		Any new or modified roles are clearly defined, and staff are appropriately trained		

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Technical Preparation				
Before Go-Live	After Go-Live	Tasks	Status	Comments
		Data conversion is complete and successful		
		o New System results have been checked and reconciled against legacy system results		
		o Spot check for particular areas of interest is complete		
		o System blackout period is benchmarked, if appropriate		
		Independent Verification &Validation conducted, as needed		
		Bridging processes between applications/systems in place as needed (for example, new benefits system to legacy tax system or the inverse)		
		Comprehensive User Acceptance Testing (UAT) conducted with positive results and conducted again following system changes, if needed:		
		o System defects are systematically tracked and remedied		
		o Defect tracking processes are in place post "go-live" (in conjunction with development vendor)		
		o System help is verified		
		o Logging and exception handling is verified		
		Capacity is developed to rapidly identify system flaws and make immediate fixes		
		Back-up plan is in place if new system fails – particularly if no overlap of legacy and new system at "go live" point		
		Incoming phone capacity (lines and staff) are adjusted for anticipated increases in call volume		
		o Call Centers, as applicable		
		o Any other Agency unit that will conduct triage of system issues with customers		
		"Go-Live" decision points (show stoppers) outlined and followed		
		System performance is checked under peak user loads, including complex transactions, prior to go-live		
		System availability demonstrated (under heavy loads for sustained period of times)		
		o Monitor computing resource consumption (processors, memory, Input/Output, etc.)		
		IT system operations reporting, including management dashboard, ad hoc reports, and system logging and audit trails is available, as needed		
		Production configuration is defined and in place		
		Automated production build /testing/environment promotion processes are in place for post-deploy defect fixes and enhancements		
		All agency users and their roles are established and verified in the system		
		Data and System security verified and validated, including those required for data exchanges for Social Security Administration, Treasury Offset Program interfaces and data		
		Other internal system controls are verified and validated to ensure security and confidentiality of data		
		IT knowledge transfer to ensure agency can maintain and support the system is consistent with its operational vision		
		Transition planning and execution post-warranty or maintenance phase is validated with the vendor		
		Service delivery strategies at the point of "go-live" are clearly identified, made known to staff, and fully communicated to customers		
		o Black-out periods not recommended, but if utilized, ensure there is adequate communications regarding expectations to customers		

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Call Center /Customer Service Operations				
Before Go-Live	**After Go-Live**	**Tasks**	**Status**	**Comments**
		Call center standard operational procedures adapted, as appropriate		
		Call Center Staff and/or customer service representatives (CSRs) are fully trained		
		o CSRs/agents, supervisors, managers		
		o CSRs/agents participated in system testing UAT		
		o Cross train staff and/or staff augmentation, particularly to manage inquiries		
		Modernization system and operations help desk information provided to all front-line CSR staff		
		Front-line and management staff trained on the triage process when a system issue arises, and issue escalation processes are clearly defined and understood by staff		
		Scheduled team meetings daily and, as needed, to address:		
		o New System Issues		
		o Customer Complaints		
		o New operational or procedural issues		

Staffing/Staff Training on New System Operations				
Before Go-Live	**After Go-Live**	**Tasks**	**Status**	**Comments**
		Training materials and tools to support new processes (desk guides, handbooks, etc.) are fully developed and deployed		
		Management and staff fully trained on new system features and operations and as it relates to their specific job		
		Management and staff are provided with tools (desk guides, procedural manuals, etc.) to support transition to the new system		
		Additional Staffing Needs Identified and Secured for:		
		o Call Center (calls can dramatically increase during a conversion)		
		o Adjudication Staff (new systems tend to have the ability to raise more issues that require adjudication)		
		o Appeals Staff (appeals tend to go up in the wake of a conversion)		
		o Other support functions such as integrity-related activities		

Staff and Customer Help Desk Support				
Before Go-Live	**After Go-Live**	**Tasks**	**Status**	**Comments**
		Procedures established, including escalation processes, triage of system technical vs functional issues, communication channels, and coordination with Call Centers as applicable		
		Dry-runs of procedures with Help Desk staff		
		Staffed with modernization testers / Subject Matter Experts/Business Analysts, and Project Team members		
		Contact information is published and disseminated to appropriate personnel		
		Method to categorize and track system issues based on help request (e.g., credential/access issue, performance, questions needing clarification, etc.) is in place		

Management Oversight				
Before Go-Live	**After Go-Live**	**Tasks**	**Status**	**Comments**
		Managers are fully trained on management features and reporting processes in the system		
		Managers are prepared to support staff if system issues arise and their role in problem solving		

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

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Vendor Support/Communications				
Before Go-Live	**After Go-Live**	**Tasks**	**Status**	**Comments**
		Agreed process for addressing post implementation system fixes with vendor is in place prior to implementation	Not Started	
		Routine, daily meetings with the vendor during transition scheduled to identify and prioritize system issues for as long as needed		
		Process for tracking system issues post implementation and timing of fixes is in place		
		For any deferred functionality, ensure there is timeline for delivery		

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Communications				
Before Go-Live	After Go-Live	Tasks	Status	Comments
		Staff Communications		
		o Staff are fully briefed on implementation plan (in addition to being fully trained)		
		o Staff are provided with clear instructions on how to handle system issues if they arise		
		Claimant and Employer Communications		
		o Employer and Claimant outreach in a town-hall format for the roll-out of new system		
		o System “go-live” date disseminated		
		o System black-out period, if needed, and methods to conduct business during this phase will be clearly communicated		
		o Agency contact information is disseminated		
		o System “how-to information” provided		
		Public Communications		
		o State stakeholders notified in advanced		
		o System go-live date disseminated		
		o System black-out period, if needed, is communicated		