New Jersey Department of Labor

Unemployment Insurance Modernization Program

Strategic Plan - APPENDICES

July 2003

STRATEGIC PLAN APPENDICES: CONTENTS

INTRODUCTION

These appendices contain further information to support the UI Modernization strategic plan, developed in June and July 2003.

For more information on the business process conceptual design and technical architecture for UI Modernization, please see earlier reports of the same name.

APPENDIX A: PROJECT OUTLINES

(1) Foundational projects

Epayments

Digital recording

ODS Project 1 – data dictionary

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IVR projects overview

IVR project 1 – RCC database consolidation

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(2) NJ SUCCESS procure, build and roll-out

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NJ SUCCESS build

External interfaces change management

(3) UI business change

Interstate unit integration

Organization & resource forecasting

Establish the UI specific skills training function

Joint labor-management workshops

Creating overpayment prevention workflow in BPC

Analysis & communication of career paths in UI

Customer service coaching

Establishing customer feedback

Establishing claimant triage

Establishing employer triage

Employer ecorrespondence

State IT business preparation

IT capability development

Knowledge transfer

Agreeing the IT organization

Project outlines: approach and next steps

Our approach…

- The project outlines contained in this appendix are **DRAFTS**
- The foundational project outlines and UI business change project outlines were drafted by State staff
  - This approach has enabled us to draw more State staff into designing aspects of the UI Modernization program
  - Consequently, these drafts also represent a learning curve, as newer team members get up to speed with our approach and understand individual project objectives more clearly

Next steps…

- Every project will be planned in detail and reviewed before the project starts
  - For the foundational projects, we are currently developing ‘super service requests’ which detail out requirements, methodology, plans, resources etc
    - The super service requests are an effort to get more technical clarity prior to commissioning IT projects
  - UI business change project outlines will go through another drafting iteration (deadline of August 01)

Foundational projects

Epayments

Digital recording

ODS Project 1 – data dictionary

ODS Project 2 – create ODS

ODS Project 3 – ODS conversion

ODS Project 4 – data warehouse

IVR projects overview

IVR project 1 – RCC database consolidation

IVR project 2 – Voice XML

Prepared by: Dmitri Ilkaev

Proposed Project Manager	<To be be added in July>

PART 1: project business outline: E-Payments

Project description	To deliver an epayment option to claimants (probably direct deposit)
Parent workstream	Foundational projects
Project objective(s)	• To enable claimants to opt for epayment of UI benefits • To analyze and select the best epayment method for UI – direct deposit or ATM cards
Major benefit(s)	• Customer service: claimant will be able to specify his/her payment preferences • Automated process leading to reduced manual work and reduced error rates
Major risk(s) / issue(s)	• New functionality and some new technical issues • Designing the technical solution for easiest integration with NJ SUCCESS 2-3 years later
In scope	• adding business process steps to enable claimants to opt for epayment; commercial agreement with bank(s); adding system functionality; communication and training for the process change
Out of scope	• N/A

Your view: is this a good foundational project?	Yes	Complexity rating	6	Importance rating	7

PART 2: project delivery outline: E-Payments

Project start date	October 2003?	Estimated duration (weeks)	12

Project phases	• Select epayment method • Design processes supporting e-payment option • Agreement with the bank/financial institute • Defining requirements from the bank side • Designing e-payment functionality • Deliver functionality & document • Comms, training and launch
Key deliverables / milestones	• Agreement with the bank • Specification of the bank technical requirements • Design document of e-payment implementation • Design document of e-payment integration into UI system
Dependencies	• Available resources with e-payment knowledge • Available resources with technical design skills
Resources	• 3 people over 12 weeks • input from clearing house and technical architect • Technical Skills: Experience with ECH software, file transfer software, LOOPS, and State financial (accounts payable) software • Business Skills: Experience with UI payments, State payment procedures, ECH procedures
Cost assumptions	• e-payments and technical design expertise exist • All resources are available for full time work
Estimated cost	• Labor: in house; hardware/software $1,000

Risks: E-Payments

Difficulties in establishing agreement with the bank/financial institute

Lack of design skills to define implementation approach for e-payments

Developed design will not be in compliance with the design standards introduced by SUCCESS vendor

Assumptions: E-Payments

Resources with skills/experience for e-payments implementation are available for full time work

No problems in establishing agreement with the bank/financial institute

Enough technical skills/experience to architect e-payments implementation and integration into UI system

Developed design will be in compliance with the design standards introduced by SUCCESS vendor

Prepared by: Dmitri Ilkaev

Proposed Project Manager	<To be be added in July>

PART 1: project business outline: Digital Recording

Project description	Implement digital recording and integrate with current UI systems
Parent workstream	Foundational Projects
Project objective(s)	• Enable digital recording of (selected) UI conversations • Process and integrate digital records with the rest of UI data
Major benefit(s)	• Digital records of phone conversations – will assist in employee training and thereby enhance customer service • Ability to append a digital record to the right claim and retrieve it as needed • Ability to index and search through digital records
Major risk(s) / issue(s)	• New technology and tools – not yet identified appropriate skills inhouse • Need to integrate with existing UI systems
In scope	• Analysis of exact use of digital recording and implementation
Out of scope	• For this phase: integration with NJ SUCCESS – assumed to be part of vendor scope

Your view: is this a good foundational project?	Yes, rich functionality and evidence storage	Complexity rating	6	Importance rating	6

PART 2: project delivery outline: Digital Recording

Project start date	September 2003	Estimated duration (weeks)	16

Project phases	• Phase 1: Requirements analysis, solution/interface design and planning • Planning should include hardware/software purchase • Phase 2: Digital recording enabling; add ability to index and retrieve records • Phase 3: Integrate with existing UI systems
Key deliverables / milestones	• Digital recording modules • Integration and utilities to search records
Dependencies	• Depending on the detailed design, potentially some dependency on the ODS
Resources	• 92 person weeks, over 16 weeks • Technical Skills: Experience with digital recording, relational databases, and network/systems integration • Business Skills: Experience with intake, adjudication and appeals (and other areas as defined by initial requirements analysis)
Cost assumptions	• All resources are full time and always available
Estimated cost	• Labor: $364,320 (if not in-house resources) • Hardware/Software: $200,000

Risks: Digital Recording

Weak integration with the rest of UI functionality

Low or inconsistent quality of voice recording

Inefficient indexing and search

Insufficient capacity to store records and machine horsepower to process them

Assumptions: Digital Recording

This project will not require a separate procurement exercise – hardware and software can be purchased through existing contracts

Sufficient skilled resources to implement digital recording system

Project has enough skilled resources to design and implement DR integration with the rest of UI functionality

Project has enough skilled resources to design and implement DR storage, indexing and retrieval

System will be designed and scaled appropriately

System will be comprehensively tested before going into production

Prepared by: <Phil LaManna>

Proposed Project Manager	<To be be added in July>

PART 1: project business outline: ODS Data Dictionary

Project description	The Operational Data Store-Data Dictionary project marks the beginning of the project that results in the design, development and creation of the ODS. This project is critical to the entire effort because the end result of it is that the designers, developers and project management staff gain a more complete understanding of current LOOPS data, it's format, it's meaning and the relationship between it's own data elements and the relationship of LOOPS data to data contained in other systems and other environments. This knowledge is essential to data modelers who will logically 'map' the data flow. In short, the ODS DD is the road map.
Parent workstream	The preparation of a Data Dictionary for the ODS is a FOUNDATIONAL PROJECT.
Project objective(s)	• The objective is to provide the needed 'road map' to understand the nature of, construction method and size of the ODS to resources assigned to building it. The ODS DD will provide data modelers, data base designers and programmers with the necessary knowledge base of current data, it's structure, it's meaning and relationships.
Major benefit(s)	• The ODS DD is the key to building the data base that will support the entire UI Package and support features of NJ SUCCESS.
Major risk(s) / issue(s)	• The risk involves NOT having a Data Dictionary. The ODS DD is a living document and continues to serve as the road map to construction. Without it, it's like having no plans when building a skyscraper.
In scope	• The Data Dictionary helps to define the scope of the project that results in building the data base. The beginning of the scope of the entire project starts with the ODS DD.
Out of scope	• The Data Dictionary for the ODS is NOT out of scope.

Your view: is this a good foundational project?	The ODS DD ***is the foundation.***	Complexity rating	8	Importance rating	10

PART 2: project delivery outline: ODS Data Dictionary

Project start date	August/Sept, 2003	Estimated duration (weeks)	16

Project phases	• ODS DD technical discussions. Include obtaining all relevant documentation on current architecture. Include statewide enterprise guidelines for building ODS • Draft ODS DD proposal as to methodology, format, etc. • Draft ODS DD Document, include descriptions, formats, table structure, etc.
Key deliverables / milestones	• Project Plan/Life Cycle • Draft proposal of ODS DD • Draft ODS DD
Dependencies	• Dedicated resources. • Availability of current documentation • Reasonably stable System Architecture Design Plan • Reasonably stable Business Process Design Plan
Resources	• OIT/DIT Data Base Administrators, Data Modelers and Designer • DOL User Test • DOL Program Area staff • Technical Skills: Experience with Database Modeling Tools (e.g. IBM's Rational Rose), Relational Databases, knowledge of the existing UI data (where created, read, updated, or deleted) • Business Skills: Knowledge of the business processes and the data used in those processes
Cost assumptions	• Cost is born as in-house project for the most part. Cost is associated with availability of resources. Technical expertise may be needed on consultative basis. •112 man week
Estimated cost	• Labor: 443,520 •Software/Hardware: $20,000

Risks: ODS Data Dictionary

Insufficient existing documentation means analysis will be slowed

Some in-state resources will need to go through a learning curve on data dictionary and data models, again slowing development

Low availability of specific domain experts from OIT or outside

Redundant data

Insufficient validation of dictionary

Assumptions: ODS Data Dictionary

Technical and functional people with specific domain experience are available and support is provided by multiple groups/departments

Available resources with analysis and data modeling skills are sufficient to start the project

Required hardware, software or tools are available or can be brought into without affecting project's schedule

Prepared by: Daniel J. Paolini, NJ OIT

Proposed Project Manager	<To be be added in July>

PART 1: project business outline: Create ODS

Project description	A rationalized, integrated view of data from LOOPS and other supporting systems as a facilitative and transitional component to NJ SUCCESS
Parent workstream	Foundational Project
Project objective(s)	• To create version 1.0 of the UI/DDU ODS • Transition reports and interfaces from LOOPS, serve as blueprint for new system
Major benefit(s)	• A logical design for the re-write, isolation of reports and interfaces from LOOPS • Insulate reports and interfaces from impact of re-write, off-load support burden from TX system
Major risk(s) / issue(s)	• Loss of Executive Sponsorship/funding, failure to complete agency-wide Logical Data Model
In scope	• UI and DDU (and Board of Review) • All data in systems used by these business areas, including but not limited to LOOPS, RCC, Web applications etc
Out of scope	• Other business areas

Your view: is this a good foundational project?	Yes, essential	Complexity rating	8	Importance rating	9

PART 2: project delivery outline: Create ODS

Project start date	October 2003	Estimated duration (weeks)	28 Weeks

Project phases	• Develop Labor Logical Data Model Map source data to LDM Build ETL Routines Load and evaluate ODS
Key deliverables / milestones	• LDM Created Source Mapping Designs Completed ETL Routines Completed and Tested ODS Loads in Production with initial Operational Reports
Dependencies	• Sponsorship and Funding • Data dictionary defined
Resources	• 244 man weeks • Technical Skills: Experience with Database Modeling Tools (e.g. IBM's Rational Rose), Relational Databases, knowledge of the existing UI data (where created, read, updated, or deleted), ETL tool and practical experience • Business Skills: Knowledge of business processes and the data used in those processes, capacity to relate to data modeling (structured thinking)
Cost assumptions	• Use of OIT Common Data Architecture and OIT Staff or T817 under OIT direction
Estimated cost	• Labor $ 966,240 Hardware /software $ 250,000

Risks: Create ODS

Lack of available resources, required skills and experience in developing of a new data models for a large scale systems

Implemented data model will not be accurate and will require not only additions but more serious changes (in format of the fields, relationships, etc.)

Will not be scaled properly (will not be able to handle load of parallel transactions and/or keep the increased volume of data)

ODS security will not be seamlessly integrated with the rest of UI security (need to administer several security domains)

Implemented data model will not enable generation of all UI requested reports

Assumptions: Create ODS

Resources with the required skills and experience are available to start the project

Data dictionary is at least 75% completed

Technical and functional experts with specific domain knowledge are available

Required hardware,software, tools are either in place or can be brought into without affecting the project's schedule

External business, functional and technical experts are available to validate and test the model

Version 1.0 of the ODS will be revalidated by the NJ SUCCESS vendor and completed by the vendor IF any rework is needed (e.g., if the vendor brings in a pre-defined package, some tweaks may be needed to map the data)

Prepared by: Carol Spisak

Proposed Project Manager	<To be be added in July>

PART 1: project business outline: Data Conversion to ODS

Project description	Data conversion LOOPS, RCC,etc (all UI relevant data) to ODS
Parent workstream	Foundational project – Create ODS
Project objective(s)	• NJ Success needs a standard approach for data and interfaces. • Convert existing LOOPS, RCC, etc. data to ODS. • Daily feed of all current UI systems data to ODS through ETL tool.
Major benefit(s)	• All of the data is consistent and in the same location. • Electronic case file and data sharing capabilities.
Major risk(s) / issue(s)	• Huge conversion of existing LOOPS and other UI data to ODS • Batch window concerns for daily feeds. • Synchronization issues between LOOPS and other UI data sources and NJ SUCCESS
In scope	• Managing UI Information and keeping LOOPS/other UI data and NJ Success in sync • Assumption that hardware and ETL programs are in place
Out of scope	• Anything other than the data conversion

Your view: is this a good foundational project?	Yes	Complexity rating	7	Importance rating	10

PART 2: project delivery outline: Data Conversion to ODS

Project start date	February 2004	Estimated duration (weeks)	28
Project phases	• Set up environments and tools •Develop data mapping/transformation/cleansing rules •Define a migration plan •Migrate data from LOOPS •Migrate data from other data sources •Data consolidation/validation		
Key deliverables / milestones	• All hardware/software in place, environment(s) set up •Define data mapping/transformation •ETL programming •Migration to the staging area, data cleansing •Data conversion (several phases)		
Dependencies	• Data dictionary, ODS • ETL tools		
Resources	• 268 man week • DBA, data modeler/analyst, ETL tools, UI business analysts • Technical Skills: Experience with Database Modeling Tools (e.g. IBM's Rational Rose), Relational Databases, knowledge of the existing UI data (where created, read, updated, or deleted), ETL tool and practical experience • Business Skills: Knowledge of business processes and the data used in those processes (minimal – should already have been defined)		
Cost assumptions	• All tools and environments are ready		
Estimated cost	• Labor: $1,061,280 • Hardware/software/tools: $250,000		

Risks: Data Conversion to ODS

Insufficient in-state experience in design and performing data conversion for a large scale systems

Data mapping/transformations not yet properly designed

Low quality data cleansing

Errors in ETL coding

Problems during ETL transfer, when there is the opportunity to roll back

Data source complexity: conflicts between portions of data coming from different data sources

Mechanisms for validation/correction are not in place

Assumptions: Data Conversion to ODS

Available technical skills and resources to start the project

Data dictionary and ODS are implemented and documented completely

Resources to perform and validate ETL coding are available

LOOPS and other data sources are available within the time periods required for conversion run

Mechanisms for validation/correction/roll back are designed and implemented in advance

All hardware,software,tools are available or can be brought into without affecting project's schedule

Prepared by: Daniel J. Paolini, NJ OIT

Proposed Project Manager	<To be be added in July>

PART 1: project business outline: Building DW/Data Marts

Project description	Historical information to support analysis and sharing, and analytical reporting structures to meet the needs of different communities of analytical users
Parent workstream	Operational Data Store
Project objective(s)	• Improve responsiveness, help employees succeed • Maintain historical data to support single version of truth analysis and sharing
Major benefit(s)	• Better, more dependable analysis • reduced costs, elimination of fraud and waste, better planning
Major risk(s) / issue(s)	• Failure to staff with an experienced DW team, attempting to do large monolithic, all encompassing DW solution instead of iterative development, failure to hold and document effective JAD sessions -
In scope	• UI and DDU (and Board of Review)
Out of scope	• Rework of the ODS to fit with a vendor framework. (That will be part of the vendor scope of work)

Your view: is this a good foundational project?	Not until ODS is online	Complexity rating	9	Importance rating	5

PART 2: project delivery outline: Building DW/Data Marts

Project start date	Dependent on ODS completion: May 2004?	Estimated duration (weeks)	24 weeks

Project phases	• Design Enterprise Data Warehouse model from ODS model Build and Implement EDW Analyze, Design and Build Data Mart #n
Key deliverables / milestones	• EDW Design Create EDW Create EDW ETL Routines Data Mart #n Requirements and Design Data Mart #n Construction and Deployment
Dependencies	• Construction and implementation of ODS
Resources	• 168 man weeks • Technical Skills: Experience with Database Modeling Tools (e.g. IBM's Rational Rose), Relational Databases, knowledge of the existing UI data (where created, read, updated, or deleted), ETL tool and practical experience, experience of JAVA, SQL, OLAP, and query tools • Business Skills: Knowledge of current reporting and business processes and the data used in those processes, knowledge of existing reports; Labor Planning and Analysis input will be needed for Fed reporting reqts
Cost assumptions	• Use of OIT Common Data Architecture and OIT Staff or T817 under OIT direction A Data Mart serves one user community with 6-8 fact tables, 12 dimensions – 12 weeks Individual Data Mart development efforts can overlap or run in parallel
Estimated cost	• Labor: $633,600 • Hardware/software: $250,000 • BusinessObjects WebIntelligence Software $ 300,000

Risks: Building DW/Data Marts

Are the OIT data resources available and do they represent a sufficiently large pool of the required skills and experience with developing a data warehouse (given other demands)

Implemented DW data model will be inaccurate and may require additions or changes (in format of the fields, relationships, etc.)

Data upload to DW will not be performed in a timely manner

Implemented data model will not enable generation of all UI requested reports

Assumptions: Building DW/Data Marts

Data dictionary, ODS are completed and validated

Technical and functional experts with specific domain knowledge are available

Required hardware,software and tools are either in place or can be brought into without affecting the project's schedule

External business, functional and technical experts are available to validate and test the model, queries and reports

IVR consolidation projects - background

The first two IVR consolidation projects have been identified as Foundational Projects and so included in this appendix.

A summary of all IVR consolidation projects is contained in a separate plan that is maintained by Tom Kusnirik. (This is still evolving as NJDOL investigates options).

Prepared by: Tom Kusnirik

Proposed Project Manager	<To be be added in July>

PART 1: project business outline: RCC Consolidation

Project description	Provide a single Database to service the current RCCs. A Consolidated Database will provide shared data throughout the current call centers. This will allow each call center to share workloads as needed without reconfiguration of workstations. Consolidation will permit better flexibility for future projects, such as Virtual Call Center. This is project 1 of 6 linked IVR projects that will deliver a virtual contact center solution – see 'IVR CONSOLIDATION PROJECTS' in the Strategic Plan
Parent workstream	Foundational Project
Project objective(s)	• Consolidate the Call Centers and Extender Units databases in to a single database. Eliminate duplicate data and geographical constraints for the call centers. Create the foundation for a Virtual Call Center.
Major benefit(s)	• Data could be accessed for all three call centers from a single location • Maintenance will be performed from a single location • Ground work for Virtual Call Centers will be in place • Updates and enhancements will be implemented one location
Major risk(s) / issue(s)	• Single point of failure • Understanding if the infrastructure can support the planned virtual call center – and impact on infrastructure changes on the timeline
In scope	• RCC / Extender Units
Out of scope	• Consolidation of the DBs are in Scope

Your view: is this a good foundational project?	Yes	Complexity rating	5	Importance rating	10

PART 2: project delivery outline: RCC Consolidation

Project start date	September 2004	Estimated duration (weeks)	24

Project phases	• Perform design and develop migration plan • Put required environment /tools in place • Perform migration • Test and deploy
Key deliverables / milestones	• Design and implementation plan • Environment set up • Migration • Testing • Deployment
Dependencies	• No strong dependencies • Infrastructure improvements? • Should be in synch with data dictionary and ODS projects
Resources	• 184 man week • Oracle, Avaya • Technical Skills: Experience with Database Modeling Tools (e.g. IBM's Rational Rose), Relational Databases, knowledge of the existing UI RCC data , ETL tool and practical experience, experience with existing Avaya software, knowledge of XML • Business Skills: Knowledge of all business processes using the phone channel (all?) and the future efficiencies required
Cost assumptions	• All required hardware/software/tools are available
Estimated cost	• Labor: $728,640 – covering in-house resources

Risks: RCC Consolidation

Loss of data integrity when performing data cleansing and merging data

Single point of failure handling increased load of transactions

Potential network latency with the remote database

Assumptions: RCC Consolidation

Road map for data cleansing and merging data is clear

- skilled resources are available to perform this task

Potential network latency issue with the remote database is analyzed and mitigated

Database hardware capacity is analyzed and upgraded if required

Consolidation process will not affect production and will be performed in parallel

Prepared by: Dmitri Ilkaev

Proposed Project Manager	<To be be added in July>

PART 1: project business outline: IVR/VXML for continued claims

Project description	Prototype integration between Conversant and Web functionality THIS IS PROJECT 2 OF 6 IVR CONSOLIDATION PROJECTS – SEE 'IVR CONSOLIDATION' FOR FURTHER INFORMATION
Parent workstream	NJ SUCCESS and its integration with multiple channels of claims submission
Project objective(s)	• Prototype use of VXML as the integration mechanism between Conversant and Web server • Design and prove future integration approach for NJ SUCCESS
Major benefit(s)	• VXML is strategic approach for keeping business logic in one place • Seamless integration • More effective tools and technologies
Major risk(s) / issue(s)	• New technology and tools, no skills • Currently unclear if this project will be a prototype or full service in first iteration owing to capacity of Avaya solution in place
In scope	• Multiple channels of data submission • Technology can support new interfaces.

Your view: is this a good foundational project?	Yes, prototyping new integration concept	Complexity rating	9	Importance rating	8

PART 2: project delivery outline: IVR/VXML for continued claims

Project start date	December 2004?	Estimated duration (weeks)	12

Project phases	• Prototype VXML use for selected functionality • Prototype VXML as the main mechanism of integration between Conversant and Web
Key deliverables / milestones	• Install and learn required tools and technologies; set up environment(s) • Implement partial prototype VXML functionality • Implement complete prototype VXML functionalty • Test and deploy
Dependencies	• Required software and hardware tools • Environment set up
Resources	• 30 man week • Technical Skills: Experience with VXML/XML, HTML, JavaScript, JSP, Java • Business Skills: Knowledge of the business processes and the data used in those processes
Cost assumptions	• Tools and skills are in place • All resources are available for full time work
Estimated cost	• Labor: $250,000 • Hardware/software $30,000

Risks: IVR/VXML for continued claims

No existing in-state skills for new tools and technologies?

Strong Avaya dependencies – need to confirm if Avaya is the best vendor for VXML and what alternatives may be (given integration requirements too)

Assumptions: IVR/VXML for continued claims

We will work with Avaya to define requirements to hardware, software and development tools

All required upgrades are done in advance

Software/tools are available

Advanced training on Avaya tools and VXML

NJ SUCCESS procure, build and roll-out project outlines

NJ SUCCESS RFP and procurement

NJ SUCCESS build

External interfaces change management

Prepared by: Megan Lindsay

Proposed Project Manager	<To be be added by UI Mod team>

PART 1: project business outline: NJ SUCCESS RFP & procurement

Project description	The NJ SUCCESS RFP and procurement project is tasked with delivering the right systems development partner for UI Modernization, within a structured relationship that will enable close working to deliver NJ SUCCESS
Parent workstream	NJ SUCCESS procure and build
Project objective(s)	• to deliver the best possible partner to achieve UI Modernization objectives and measures - provide the vendor community with a clear understanding of the contract and UI Modernization's needs - define and follow a procurement strategy that takes account of State procurement constraints, the desired program approach (RAD etc) and commercial realities (e.g., vendor financial risk mitigation)
Major benefit(s)	The right start to the vendor-state partnership will enable fast, effective delivery through truly integrated teams.
Major risk(s) / issue(s)	• Lack of clarity in any aspect of the procurement process – requirements, commercials, attitude – will increase vendors' perceptions of risk and thus the price of the contract • Over-reliance on the basic contracting concept of 'if they don't deliver, we can sue' may lead to an adversarial relationship, reducing flexibility and thereby increasing quality/cost risks
In scope	• The scope of NJ SUCCESS (and phases) will be defined by this project • Procurement strategy, financial modeling, RFP and evaluation approach development, bid management, evaluation management and advice to the evaluation team • If any core functionality is scoped out (e.g., appeals case management), this project must provide for later development
Out of scope	• NJ SUCCESS QA RFP (if the State decides to use one)

PART 2: project delivery outline: NJ SUCCESS RFP & procurement

Project start date	Immediate: 08/01/03	Estimated duration (weeks)	10 months

Project phases	1 – detailed requirements development and procurement strategy; 2 – RFP document development; 3 – evaluation process development; 4 – RFP bidder response period; 5 – bid & award evaluation
Key deliverables / milestones	• Procurement strategy, September 2004 • Detailed requirements (use cases), October 2004 • RFP and evaluation approach, November 2004 • Bids received from vendors, March 01, 2004 • Contract awarded and vendor start, Oct 2004
Dependencies	• Potentially, procurement of independent assistance to craft the procurement strategy and RFP
Resources	At time of writing (July 22, 2003), the State has not yet decided whether to procure assistance for RFP development. Resources will vary considerably upon this decision. • Technical Skills: Experience in designing, developing, and implementing a project of this size, Experience with the tools defined in the technical architecture • Business Skills: Contract development and procurement strategy; clear written and verbal communications; financial modeling; negotiation and liaison (to get the RFP agreed within the State), thoroughness and strategic planning
Cost assumptions	• External assistance *is* sought for RFP development, procurement strategy and evaluation process development (phases 1-3 above)
Estimated cost	• Estimate approximately $500K in external assistance • State team of at least 5 also required (for the detailed requirements in particular) • Contingency of approximately $250K in case further external assistance is required for evaluation processes

Prepared by: Mark Bellamy

Proposed Project Manager	<To be be added by UI Mod team>

PART 1: project business outline: NJ SUCCESS build

Project description	The NJ SUCCESS build project will specify, develop and deploy the new NJ SUCCESS IT system to support UI Modernization. The majority of work for this project will be undertaken by a vendor, with strategic direction and overall control by the State. This project contains three major sub-phases:
Parent workstream	NJ SUCCESS build, procure and roll out

Project objective(s)	• To build and deliver a modern and powerful new IT system to support the modernized future NJ UI business. Key milestones for this objective are:
	  • Oct 2004: NJ SUCCESS vendor selected and procured
	  • Oct 2006: initial roll-out of NJ SUCCESS starts
	  • June 2007: NJ SUCCESS roll-out completed

Major benefit(s)	• IT support and operational efficiencies for modernized UI business processes and improvements to customer services • Improved flexibility for supporting future UI legislation changes • Timely and accurate management information available • NJ State IT staff involved in development and able to take on future support and maintenance
Major risk(s) / issue(s)	• Procurement processes not able to accommodate flexibility required for RAD • Key staff are not back filled to free them up for to assist with development • Hand over activities are insufficient to enable state to take on future support and maintenance
In scope	• Design, development, testing and roll-out of new NJ SUCCESS system • Training of state staff in new NJ SUCCESS system • Training and handover to state IT staff for future operational support / maintenance of new system
Out of scope	• Foundation projects; maintenance and support; other IT and business scope areas as defined in the RFP

PART 2: project delivery outline: NJ SUCCESS build

Project start date	TBD as part of RFP - estimate Oct, 2004	Estimated duration (weeks)	Target completion within 2 years (+6 months for rollout)

Project phases	• Preparation and design • Development and testing • Training and roll-out
Key deliverables / milestones	• New NJ SUCCESS system • Training material and course delivery
Dependencies	• Successful delivery of ODS and IVR foundation projects • Successful RFP and procurement of appropriate IT vendor • Recruitment of replacement staff to backfill staff seconded to NJ SUCCESS
Resources	• External vendor • 5 – 26 State staff during lifetime of project • Technical Skills: Experience in designing, developing, and implementing a project of this size, Experience with the tools defined in the technical architecture • Business Skills: Experience in managing and implementing a project of this size: business design, contract management, team management etc etc
Cost assumptions	• Vendor costs estimated based on industry experience of similar projects • State resourcing levels estimated based on requirement to ensure high proportion of state staff involved with end stages of development to enable handover to State resources
Estimated cost	• Vendor costs of between $34M - $45M, depending on NJ SUCCESS development approach • Internal costs for State staff (and their backfilling replacements)

Prepared by: Mark Bellamy

Proposed Project Manager	<To be be added by UI Mod team>

PART 1: project business outline: External Interfaces Change Mgt

Project description	The NJ SUCCESS build project will require analysis and potential changes made to external Interfaces managed by partner agencies. These changes will represent external dependencies for the NJ SUCCESS build project and will be separately managed under the External Interfaces Change Management project.
Parent workstream	NJ SUCCESS build, procure and roll out
Project objective(s)	• To analyze external interfaces, determine any required changes / integration test deliverables and proactively manage the delivery of these changes through 3rd parties responsible for each interface
Major benefit(s)	• Enables State to manage relationships with 3rd parties / partner agencies separately from NJ SUCCESS build vendor • Provides focus on key external dependencies for NJ SUCCESS build • Helps ensure that 3rd party delivery timescales are aligned with NJ SUCCESS RAD iterations
Major risk(s) / issue(s)	• 3rd parties unable to make desired changes in NJ SUCCESS timescales *- mitigate through 'Plan B' interfaces approach*
In scope	• All 3rd party interfaces required for UI Division / DDU business processes *- 3rd party defined as organizations external to UI Division / DDU (i.e both other state agencies and non-state organizations)* • Definition of approach for integrating with each interface • Integration test planning and execution tracking for interfaces delivering information *to* NJ SUCCESS
Out of scope	• Internal interfaces • Changes for NJ SUCCESS interfaces- *managed as part of NJ SUCCESS build* • Resourcing of integration tests - *responsibility of NJ SUCCESS vendor and 3rd parties*

PART 2: project delivery outline: External Interfaces Change Mgt

Project start date	At NJ SUCCESS vendor start, anticipated Q1 2005	Estimated duration (weeks)	100 - 150

Project phases	• Analysis and NJ SUCCESS impact assessment • Implementation planning • Integration test planning • Change assurance
Key deliverables / milestones	• External interfaces implementation plan • External interfaces and NJ SUCCESS Integration test strategy and plan • Interface changes acceptance, following successful integration testing
Dependencies	• Agreement and resources from 3rd parties • Availability of integration tests / interfaces from NJ SUCCESS
Resources	• 3rd party organizations and NJ SUCCESS team • State project management for coordination • Technical Skills: Experience in ETL, file transfer , ODS, database modeling, design, development, and State IT procedure control capabilities and processes • Business Skills: Knowledge of data used by UI/DDU and interfacing systems, knowledge of the implications of not getting / receiving bad / incomplete data; planning, negotiation, process improvement
Cost assumptions	• None
Estimated cost	• 1.5 state project manager staff - a full-time project manager and a part-time deputy for back up

UI business change project outlines

These project outlines are in early draft status and are under review; therefore some gaps still remain.

Organization & resource forecasting

Establish the UI specific skills training function

Joint labor-management workshops

Creating overpayment prevention workflow in BPC

Analysis & communication of career paths in UI

Customer service coaching <not yet provided>

Establishing customer feedback

Establishing claimant triage

Establishing employer triage

Employer ecorrespondence

Prepared by: <Megan Lindsay>

Proposed Project Manager	<To be be added>

PART 1: project business outline: Organization & resource forecasting

Project description	This project will identify the best realistic organization to support the vision, objectives and processes defined in the UI Modernization Business Process Conceptual Design. Additionally, the project will deliver estimated resource levels for the 3-4-5 year horizon, in particular taking into account the changes in skills demanded by UI Modernization. Deliverables: (a) organization forecast (b) resource forecast and (c) plan to deliver both
Parent workstream	UI business and culture change
Project objective(s)	• To identify the best realistic organization and resourcing form for the Division of UI in 3-4-5 years • To provide a plan of how to deliver the changes that fits with the other activities of UI Modernization
Major benefit(s)	• A fully thought out plan to achieve the best organization and resources to deliver modernized UI services • Minimizing the risk of the organization falling behind – and slowing/impacting modernization efforts
Major risk(s) / issue(s)	• The plan should not be more ambitious than the Division is willing to accept (e.g., geographically)
In scope	• Division of UI (and DDU?)
Out of scope	• Culture change analysis – addressed in a separate, parallel project - unless agreed by the appropriate senior managers, DDU and all IT services

PART 2: project delivery outline: Organization & resource forecasting

Project start date	September 2003	Estimated duration (weeks)	12 weeks

Project phases	• 1- Organization analysis • 2 - Resource analysis • 3 – Plan
Key deliverables / milestones	• Phase 1: ideal realistic organization of future • Phase 2: realistic resource requirements of future organization • Phase 3: plan to deliver
Dependencies	• This project is not dependent on another project to start • This project may trigger the need for an HR review
Resources	• 12 weeks x 2 people full time [consultant time estimate: reasonable for in-house work?]; HR input on skills required • Business Skills: Organizational design experience; existing knowledge of the UI Mod vision and proposed processes; “people” skills; spreadsheet modeling • Technical Skills: Understanding of current technologies, State OIT and DIT technical direction
Cost assumptions	• N/A – see below
Estimated cost	• In-house – no additional costs

Prepared by: <Nancy Fien/Greg Castellani>

PART 1: project business outline: Establish UI Specific Skills Training Function

Project description	This project will identify the training and staff development needs for the Division. Including training for new hires and training required on an ongoing basis (update due to rule changes, skills refresher or other training as needed) Deliverables: (a) training plan (b) skill sets required (c) plan to implement
Parent workstream	Organization change
Project objective(s)	• Develop staff to keep skill levels current and increase awareness of other units' functions • Keep training courses offered up-to-date with current procedures • Have training package available for new hires that reflects current policies and procedures • Identify facility able to accommodate training needs, including capacity and necessary technology • Identify and maintain training staff for specialty areas (RCC, Monetary, etc) • Develop a self-paced training module (either on CD, web-based, etc)
Major benefit(s)	• Improved customer service through (a) a fully thought out plan to develop and maintain an informed, educated workforce and (b) ensuring knowledge levels are current with evolving policies and procedures • Maximizing the use of available technology • Effective and most efficient use of resources • Improved ability to meet federal quality and timeliness standards
Major risk(s) / issue(s)	• Availability of staff to attend training with no disruption to daily workloads • Maintaining and updating skill levels of trainers • Supplying necessary technology to trainers
In scope	• Division of UI

PART 2: project delivery outline: Establish the UI Specific Skills Training Function

Project start date		Estimated duration (weeks)	

Project phases	• 1- Organization analysis • 2 - Resource analysis • 3 – Plan
Key deliverables / milestones	• Identify key resources to develop and conduct training
Dependencies	• Staff recruitment – new hires need complete training package • Availability of adequate facilities and equipment
Resources	• 8 weeks and 1 person, supported by select experts from various areas (RCC, Monetary, etc.) to develop a comprehensive training package • Business Skills: Planning in the UI environment, understanding of adult training and development • Technical Skills: Understanding of current technologies, State OIT and DIT technical direction
Cost assumptions	• N/A – see below
Estimated cost	• In-house – no additional costs

Prepared by: <Tom Hynes>

Proposed Project Manager	<To be be added>

PART 1: project business outline: Creating overpayment prevention workflow in BPC

Project description	Move BPC from a culture where detection of overpayments is the primary focus to a culture where the **prevention** of overpayment is the primary focus. Additionally, the project will move BPC from a manual backend set-up of overpayments and limited recovery/collection activity to an automated set-up system with a bonafide collection unit with all the up-to-date technologies. Deliverables: organization shift forecast; resource reallocation forecast; and the plan to deliver with a time line
Parent workstream	Referrals from the preventative cross-matches run during the initial claims and continued claims process will be referred to BPC if there is a hit. BPC will initiate on these claims within 24 hours. Claims that are investigated and cleared without overpayments will remain in the process and a remark will be entered into the system. Hits that are bonafide will have determinations entered into the system or a “pend” will be placed on the claim so that further investigation can proceed. Continued claims will also be cross-matched and the same process will follow from any hits. Refunds will be an automatic result of any investigative overpayment discovered in the process.
Project objective(s)	To process hits resulting from any cross-match transparent to the process. This means allowing the payment process to proceed unless a conflict is discovered, then and only then will the process be halted with a “pend”. To provide a plan on how to integrate the Benefit Payment Control Process into the UI Modernization activities to ensure timely first payments and continued payments when due and to prevent fraud and non-fraud overpayments from occurring where possible.
Major benefit(s)	An organization that emphasizes the prevention of overpayments rather than an organization that concentrates its efforts on detection. An efficient and automated set-up and collection unit that will have the authority and ability to recover overpayments. An integrated BPC-UI Operations system that will respond quickly and accurately to potential overpayments without affecting the normal workflow process unless an issue arises.

Prepared by: <Tom Hynes>

Proposed Project Manager	<To be be added>

PART 1: project business outline: Creating overpayment prevention workflow in BPC

Major risk(s) / issue(s)	The plan must be implemented and integrated into the UI Modernization Plan with the proper management support and with the appropriate IT services. Cultural hurdles – taking the investigators from the "I find fraud and other overpayments" to "What can I do and how can I do things to prevent fraud and overpayments from occurring". Additionally, changing the mentality from BPC as an investigation unit to BPC as Claims Control, Investigations, and Refund Processing.
In scope	Benefit Payment Control and UI BPC IT structuring
Out of scope	Parallel projects unless directly related to BPC

PART 2: project delivery outline: Creating overpayment prevention workflow in BPC

Project start date	November 2003	Estimated duration (weeks)	20 weeks

Project phases	1. Organization Shift Analysis 2. Resource Reallocation Analysis 3. Plan to deliver with time line and deliverable dates
Key deliverables / milestones	•Phase 1: Realistic description of shift of resources from manual to automated organization with emphasis on overpayment prevention requirements. •Phase 2: Realistic description of resource requirements including those required to automate BPC. •Phase 3: Delivery plan with timeline, testing variable for IT and times, and shifting of human resources with timeline.
Dependencies	This project is planned as one of the key deliverables and should not be dependent on any other project. This project may trigger the need for an HR review and shift in personnel configurations.
Resources	20 weeks x 3 full-time-in-house people Technical Skills: Knowledge of cross check files and data, LOOPS development skills (if built prior to NJ SUCCESS). JAVA, relational database experience if done as part of NJ SUCCESS Business Skills: Expertize in BPC, balanced with understanding of the UI Mod-vision; change management, leadership
Cost assumptions	See Below
Estimated cost	In-house – no additional costs – New Hire and BPC enhancement $200,000.00.

Prepared by: <Scott P. Brown>

Proposed Project Manager	<To be be added>

PART 1: project business outline: Joint Labor-Management Workshops (co-sponsored by CWA)

Project description	This project will establish a workgroup consisting of representatives from the local union (CWA) and key management personnel from the program areas of Income Security. This workgroup will identify the best realistic organization to support the vision, objectives and processes defined in the UI Modernization Business Process Conceptual Design. This workgroup will meet for a 2 year period to define employee roles and identify any changes in skills demanded by UI Modernization. Deliverables: (a) Union resources (b) Management resources and (c) plan to deliver both
Parent workstream	UI communication and culture change
Project objective(s)	• To establish a labor-management workgroup for a 2 year period • To provide a plan of how the workgroup will function in UI Modernization
Major benefit(s)	• To bring both the labor unions and division management together to promote UI modernization • Minimizing the risk of the organization falling behind – and slowing/impacting modernization efforts
Major risk(s) / issue(s)	• The workgroup must not be divided on the key issues of UI Modernization
In scope	• Division of UI (and DDU?), Board of Review
Out of scope	• Culture change analysis – addressed in a separate, parallel project - unless agreed by the appropriate senior managers, DDU and all IT services

PART 2: project delivery outline: Joint Labor-Management Workshops (co-sponsored by CWA)

Project start date	September 2003	Estimated duration (weeks)	2 years

Project phases	• 1 - Union resources (all involved) • 2 - Management resources • 3 - Plan
Key deliverables / milestones	• Phase 1: Ideal realistic organization of future • Phase 2: Realistic resource requirements of future organization • Phase 3: Plan to deliver
Dependencies	• This project is not dependent on another project to start • Needs to be serious buy-in from Union and Management
Resources	• 24 months x 2 people full time (union rep & management rep), HR input • Workgroup should consist of 8 members total (4 union & 4 management) • Business Skills: Organizational design experience; existing knowledge of the UI Mod vision and proposed processes •\
Cost assumptions	• N/A – see below
Estimated cost	• In-house – no additional costs

Prepared by: <Scott P. Brown>

Proposed Project Manager	<To be be added>

PART 1: project business outline: Career Paths – Analysis and Communication

Project description	This project will analyze and define career paths within the Division of Unemployment Insurance. The existing career path and possible development of new career paths will be analyzed. Communication of these career paths will also be established so everyone in the Division is aware and understands where each job may take them if they remain within the Division. A workgroup may be established to formulate the best possible path for the employees and to support the vision, objectives and processes defined in the UI Modernization Business Process Conceptual Design. Deliverables: (a) Analysis of career paths (b) Communication of results and (c) plan to deliver both
Parent workstream	UI communication and culture change
Project objective(s)	• To establish and develop career paths within the Division • Provide communication of career paths • To provide a plan of how these will relate to UI Modernization
Major benefit(s)	• Provides staff various avenues in which to enhance their career • May draw even more talented individuals to the Division • Will establish lines of communication within the Division staff
Major risk(s) / issue(s)	• Dead end in certain job titles • Staff not being aware of all their career options • Morale leading to ineffective staff performance
In scope	• Division of UI (and DDU?)
Out of scope	• Culture change analysis – addressed in a separate, parallel project - unless agreed by the appropriate senior managers, DDU and all IT services

PART 2: project delivery outline: Career Paths – Analysis and Communication

Project start date	September 2003	Estimated duration (weeks)	Continuous

Project phases	• 1- Career path analysis • 2 - Communication • 3 – Plan
Key deliverables / milestones	• Phase 1: Identify career paths • Phase 2: Establish lines of communication • Phase 3: Plan to deliver
Dependencies	• This project is not dependent on another project to start • This project will trigger the need for an HR review
Resources	• Division and Department HR staff • Business Skills: Culture change; NJ State HR knowledge, organizational design understanding (to be able to handle issues that fall into these areas); existing knowledge of the UI Mod vision and proposed processes • Technical Skills: Knowledge of supporting technologies only
Cost assumptions	• N/A – see below
Estimated cost	• In-house – no additional costs

Prepared by: <Denise Dusko and Madeleine Sekulich >

Proposed Project Manager	<To be be added>

PART 1: project business outline: Establishing Customer Feedback

Project description	This project will identify the processes and tools to capture feedback in a regular and standardized fashion from both internal (UI staff) and external (claimant and employer) customers. Additionally, the project will delineate a plan for analyzing customer input that supports the vision and objectives defined in UI Modernization for the transition to a customer service organization. Deliverables: (a) methodology for capturing feedback (b) plan for tabulating and analyzing customer response
Parent workstream	Customer Service and Culture Change
Project objective(s)	• To identify methods for obtaining statistically relevant feedback from UI staff, claimants and employers a) identify existing processes (if any) for capturing feedback that could be used in the interim b) identify the least labor intensive (i.e. automated) methods for capturing feedback in a regular and standardized fashion c) identify alternative methods to b) (above) for the purpose of soliciting feedback to supplement automated methods identified (e.g. focus groups, in-depth interviews) • To present a plan for tabulating and analyzing our customers' feedback and identify areas for improvement
Major benefit(s)	• A systematic methodology for obtaining feedback from 3 identified customer populations • A coordinated plan for improving UI operations based on the results of customer response • Maximize customer participation in the UI process • Customer service ratings can be monitored • Minimizes the risk of "not hearing" our customers' concerns

PART 1: project business outline: Establishing Customer Feedback

Major risk(s) / issue(s)	• Division's resources (financial and personnel) for implementing the project • Division's resources (financial and personnel) for long-term monitoring and response to feedback
In scope	• Division of UI
Out of scope	• Organization and cultural change analysis – Establishing and analyzing customer feedback is tied into these other separate, parallel projects

PART 2: project delivery outline: Establishing Customer Feedback

Project start date	October 2003?	Estimated duration (weeks)	8 weeks?

Project phases	• 1- analysis and proposal of methodology • 2 – analysis of implementation methodology
Key deliverables / milestones	• Phase 1: Processes and tools to capture customer feedback • Phase 2: Plan for tabulating and analyzing customer responses
Dependencies	• This project is not dependent on another project to start • Consult with Labor Planning & Analysis to identify statistically significant populations • Review by Labor Planning & Analysis of questions, surveys, questionnaires, etc. to ensure that questions will solicit the information the Division is seeking
Resources	• 8 weeks x 2 people part-time?; additional input from Labor Planning & Analysis and UI Systems Management as needed • Input from UI representatives in operations • Business Skills: Knowledge of the existing and proposed business processes, and the UI Mod vision • Technical Skills: None for analysis stage
Cost assumptions	• Variable depending on methodology selected (e.g. programming costs for enhancements to telephone and internet certification) for capturing feedback
Estimated cost	• Variable, but most likely all work will be in-house

Prepared by: Marianne Heenan

Proposed Project Manager	

PART 1: project business outline: Claimant Triage

Project description	This project will identify the most effective systems of allocating resources to claimants so that they can derive the greatest benefit (efficiency) from their claims process. Deliverables: (a) multi-media contact points (b) resource allocation (c) plan to deliver both
Parent work stream	Customer Service
Project objective(s)	• To establish a claimant triage function for customer service • To establish process (informational) trees to direct claimants through an automated, self-service process (web & phone) • To provide a plan of how to deliver the changes that fits with the other activities of UI Modernization
Major benefit(s)	• A plan to achieve the most effective allocation of resources to deliver modernized UI services to claimants
Major risk(s) / issue(s)	• Limited resources may limit effectiveness • "Triage" means there are intensive service levels. There may be difficulty in maintaining intensive levels of service in restricted fiscal periods.
In scope	• Division of UI, DDU, ES and other WIB Partners
Out of scope	• Culture change analysis – addressed in a separate, parallel project

PART 2: project delivery outline: Claimant Triage

Project start date	To be determined	Estimated duration (weeks)	To be determined

Project phases	• 1- Organization analysis • 2 - Resource analysis • 3 – Plan
Key deliverables / milestones	• Phase 1: Definition of the service levels and delivery methods of Triage • Phase 2: Breakdown of resource requirements; technical and personnel • Phase 3: Plan to deliver
Dependencies	• This project is dependent on vendor infrastructure (phone systems, links to data storage, etc.) • This project is dependent on WIB partner cooperation (web access)
Resources	• Business Skills: Organizational design experience, process / service development, understanding of the UI Mod vision and proposed processes • Technical Skills: Depends on the solution – probably IVR and internet development skills
Cost assumptions	• To be determined
Estimated cost	• To be determined

Employer triage, employer ecorrespondence

<<The draft project outlines for employer triage and employer ecorrespondence were provided in MS Word format and are therefore appended separately>>

State IT business preparation project outlines

IT capability development

Knowledge transfer

Agreeing the IT organization

Prepared by: Megan Lindsay

Proposed Project Manager	<To be be added by UI Mod team>

PART 1: project business outline: IT capability development

Project description	The IT capability development project will help ensure that the State IT teams supporting UI are as prepared as possible to deliver foundational projects; to assist with the design, development and roll-out of NJ SUCCESS; and to assume control of NJ SUCCESS, including maintenance and enhancements as soon as the system is in production.
Parent workstream	NJ IT capability enhancement

Project objective(s)	• to ensure that the state IT teams together have the right combined set of skills and capability to help deliver NJ SUCCESS and then to maintain it, just in time. Key milestones for this objective are:
	  • August 2003: capability for foundational projects in place
	  • May 2004: capability for NJ SUCCESS assistance in place
	  • March 2006: capability for NJ SUCCESS maintenance in place

Major benefit(s)	• Involvement of State IT teams in all aspects of NJ SUCCESS development and delivery, improving career paths for all AND tightening oversight and control of the vendor • Long-term: enabling the State to stay in control of its own IT destiny; signficantly reduced maintenance costs for NJ SUCCESS
Major risk(s) / issue(s)	• Refusal to free up funds for training and development activities • Not starting this project sufficiently in advance of key milestones • Key staff are not back filled to free them up for capability development
In scope	• Identification of skills/capability requirements for UI Mod • Activities to deliver the capability – including planning training & development activities for internal staff; recruitment and hiring contractors (within normal departmental processes) • Getting management approval for the financial outlays for capability

PART 2: project delivery outline: IT capability development

Project start date	NOW (August 01, 2004)	Estimated duration (weeks)	June 2006

Project phases	• Capability for foundational projects: now to December 2003 • Capability for design & development of NJ SUCCESS: now through 2005/6 • Capability for maintenance and enhancements – NJ SUCCESS: now to June 2006 Each phase needs to be based on a clear analysis of the team and capability needed for the phase AS WELL AS an understanding of the final team and capability needed (I.e., don't over–recruit etc)
Key deliverables / milestones	• Start of foundational projects • Vendor start, 2004 • NJ SUCCESS roll-out start and completion • 6 months after roll-out complete (if vendor contract extends beyond go live)
Dependencies	• This project is not dependent on other UI Modernization activities to start • This project is dependent on recruitment / resourcing for back filling individual's posts and freeing them for IT capability development • This project feeds ALL systems development work for UI Modernization
Resources	• 1 FTE, with liaisons in DIT and OIT, ongoing for life of the program • Technical Skills: Understanding of NJ SUCCESS technologies and technical skills needed • Business Skills: Detailed planning and monitoring, negotiation and people skills, thoroughness
Cost assumptions	• Internal cost to resource the project manager and liaisons
Estimated cost	• IT capability enhancement activities – such as training – will require investment. A cost assessment of training etc can be provided after the first gap analysis: what skills do we need, that we don't have?

Prepared by: Megan Lindsay

Proposed Project Manager	<To be be added by UI Mod team>

PART 1: project business outline: Knowledge transfer

Project description	This project will be tasked with ensuring that knowledge transfer clauses in vendor contracts for UI Modernization are delivered. A dedicated project is anticipated because the State has already articulated ideas such as making vendor payments contingent on knowledge transfer, with a target of 80% of NJ SUCCESS development and support coming from the State by the end of the development phase. Dedicated support will be required to ensure that the State meets its corresponding contractual commitments to make suitable staff available. The State's knowledge transfer objectives will be clarified in RFP / procurement strategy development.
Parent workstream	NJ IT capability enhancement
Project objective(s)	• to ensure that knowledge transfer from all vendors involved in UI Modernization is real, measurable and demonstrable
Major benefit(s)	Real knowledge transfer will enhance the State's ability to • 'control its own destiny' • be in a position to choose to maintain NJ SUCCESS in house, post-implementation
Major risk(s) / issue(s)	• Not planning time and resources on the state side to focus on knowledge transfer. - for example, role shadowing may be a very useful activity for some people; however, it is not immediately productive and so if resources are scarce there is a very real risk that shadowing activities will not be perceived as 'delivering value'
In scope	• All vendor contracts and activities contributing to UI Modernization
Out of scope	• In-state succession planning (an important but separate activity)

PART 2: project delivery outline: Knowledge transfer

Project start date	At vendor contract start	Estimated duration (weeks)	TBA

Project phases	To be defined when RFPs are developed and at contract starts
Key deliverables / milestones	Again, these should be defined in vendor contracts
Dependencies	• Successful procurement of NJ SUCCESS vendor • Successful procurement of NJ SUCCESS QA vendor • Other vendor contracts (none further anticipated at time of writing) • Freeing up of state staff for knowledge transfer activities
Resources	Early estimate (to be reviewed once knowledge transfer plans clearer): 1 FTE to *oversee* knowledge transfer activities; numbers involved TBA • Technical Skills: Understanding of NJ SUCCESS technologies and technical skills needed • Business Skills: Planning and monitoring - This is closely tied to resourcing, see above. Also contract management, given link to vendor payments
Cost assumptions	
Estimated cost	• Internal personnel cost to resource the project manager and liaisons • Vendor knowledge transfer costs assumed to be included in their overall contracts

Prepared by: Megan Lindsay

Proposed Project Manager	<To be be added by UI Mod team>

PART 1: project business outline: Agreeing the IT organization

Project description	The purpose of this project is to establish the state IT organization that will support and maintain NJ SUCCESS once the development vendor departs.
Parent workstream	NJ IT capability enhancement

Project objective(s)	• to ensure that the Division of UI has IT support services that meet its ongoing needs
	  • to clarify and agree detailed IT support responsibilities across UI systems management, DIT and OIT
	  • to get signed agreement to service level agreements that document the agreed responsibilities
	• for the state to be ready to take on system support at least 3 months before the end of the NJ SUCCESS vendor contract

Major benefit(s)	To prepare the State to • avoid IT problems falling between the cracks of the different support organizations (as has happened on some recent occasions) • to create an effective and aligned IT organization able to effectively engage with the NJ SUCCESS vendor and help the State to keep control of its own destiny
Major risk(s) / issue(s)	• Broad future organizational responsibilities should ideally be agreed soon, as this will influence capability development across UI systems management, DIT and OIT (i.e., which group should grow which skills?) • Each organization must then skill-up to meet its future responsibilities (with financial support from UI Modernization – see IT capability enhancement) • End to end system oversight must be included as a single activity
In scope	• All IT activities related to supporting / maintaining /enhancing NJ SUCCESS and associated Foundational Projects

PART 2: project delivery outline: Agreeing the IT organization

Project start date	Broad organizational responsibilities should be agreed ASAP	Estimated duration (weeks)	TBA

Project phases	1 – agree broad organizational responsibilities for the future NJ SUCCESS 2 – develop detailed service level agreements, including preparation work 3 – confirm arrangements 6 months prior to go live, including progress against SLAs
Key deliverables / milestones	Start and end dates of each of the above phases; proposed end dates are: 1 – October 2003 2 – December 2004 3 – December 2005 (or 6 months before vendor handover)
Dependencies	• Exact dates are dependent on the NJ SUCCESS RFP
Resources	2 – develop detailed SLAs will require at least 1 FTE from UI, DIT and OIT (recommend a combined effort) • Business Skills: Understanding of NJ SUCCESS technologies and technical skills needed; ability to negotiate and advocate preferred arrangement for UI / DDU at highest level
Cost assumptions	Cost is assumed as internal time only
Estimated cost	• Internal personnel cost to resource the project manager and liaisons • Vendor knowledge transfer costs assumed to be included in their overall contracts

APPENDIX B: TIMELINE OPTIONS FOR NJ SUCCESS BUILD

The critical path for UI Modernization is the NJ SUCCESS procure, build and roll-out workstream.

The timeline for NJ SUCCESS build is the greatest variable in the critical path; ultimately, it will be confirmed by the plan proposed by the winning NJ SUCCESS bidder.

This appendix illustrates the timeline impacts of the three major options:

- Custom implementation, using a rapid application development (RAD) methodology

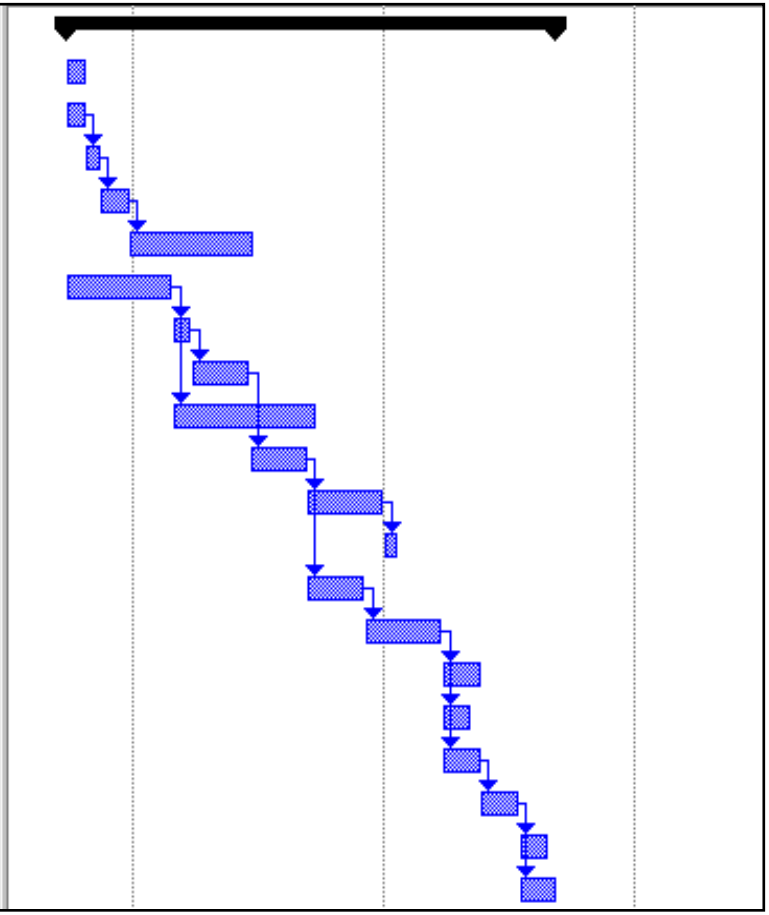
- Custom implementation, using a traditional waterfall methodology

- UI package / framework implementation

(note that these do not include roll-out)

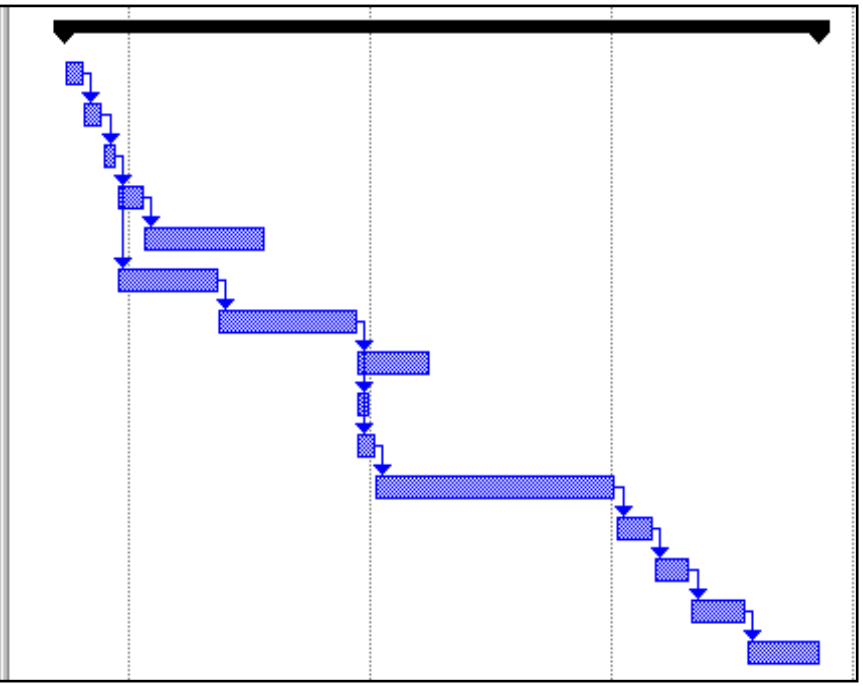
Illustrative timeline: custom implementation, using RAD

Custom Implementation (RAD)	102 wks	Mon 9/27/04	Fri 9/8/06
Facilities Set Up	4 wks	Mon 9/27/04	Fri 10/22/04
Start Up Deliverables	4 wks	Mon 9/27/04	Fri 10/22/04
Environments Set Up, Phase 1	3 wks	Mon 10/25/04	Fri 11/12/04
Migration and Conversion Plans	6 wks	Mon 11/15/04	Fri 12/24/04
Data conversion	26 wks	Mon 12/27/04	Fri 6/24/05
Initial System Design	22 wks	Mon 9/27/04	Fri 2/25/05
Implementation Plan	4 wks	Mon 2/28/05	Fri 3/25/05
Development, Testing (Phase 1)	12 wks	Mon 3/28/05	Fri 6/17/05
Detailed System Design	30 wks	Mon 2/28/05	Fri 9/23/05
Development, Testing (Phase 2)	12 wks	Mon 6/20/05	Fri 9/9/05
Interfaces/integration design	16 wks	Mon 9/12/05	Fri 12/30/05
Environments Set Up, Phase 2	3 wks	Mon 1/2/06	Fri 1/20/06
Development, Testing (Phase3)	12 wks	Mon 9/12/05	Fri 12/2/05
Development, integration, testing (Phase 4)	16 wks	Mon 12/5/05	Fri 3/24/06
Training, Phase 1	8 wks	Mon 3/27/06	Fri 5/19/06
Documentation, Phase 1	6 wks	Mon 3/27/06	Fri 5/5/06
Adding services and functions	8 wks	Mon 3/27/06	Fri 5/19/06
Adding utilities, control, monitoring	8 wks	Mon 5/22/06	Fri 7/14/06
Documentation, Phase 2	6 wks	Mon 7/17/06	Fri 8/25/06
Training, Phase 2	8 wks	Mon 7/17/06	Fri 9/8/06



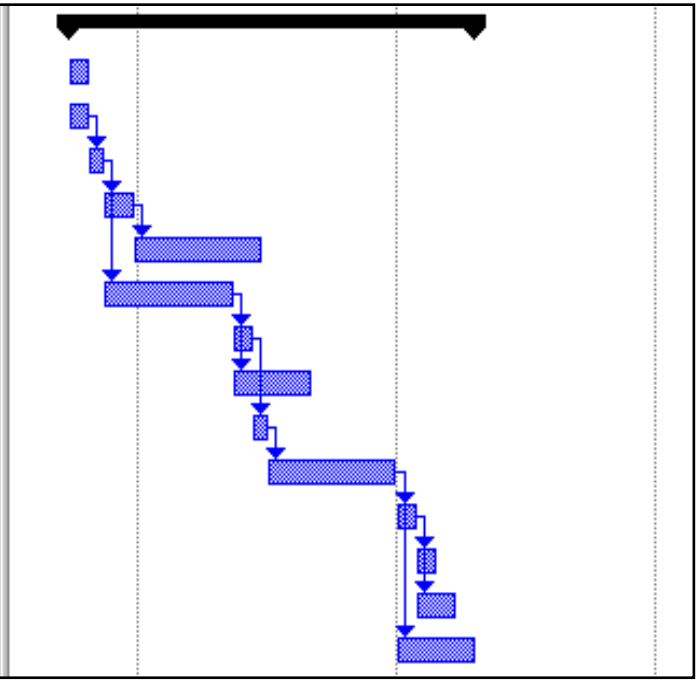
Illustrative timeline: custom implementation, using waterfall methodology

Custom Implementation (Waterfall)	163 wks	Mon 9/27/04	Fri 11/9/07
Facilities Set Up	4 wks	Mon 9/27/04	Fri 10/22/04
Start Up Deliverables	4 wks	Mon 10/25/04	Fri 11/19/04
Environments Set Up, Phase 1	3 wks	Mon 11/22/04	Fri 12/10/04
Migration and Conversion Plans	6 wks	Mon 12/13/04	Fri 1/21/05
Data conversion	26 wks	Mon 1/24/05	Fri 7/22/05
Initial System Design	22 wks	Mon 12/13/04	Fri 5/13/05
Detailed System Design	30 wks	Mon 5/16/05	Fri 12/9/05
Interfaces/integration design	16 wks	Mon 12/12/05	Fri 3/31/06
Environments Set Up, Phase 2	3 wks	Mon 12/12/05	Fri 12/30/05
Implementation Plan	4 wks	Mon 12/12/05	Fri 1/6/06
Development, integration, testing	52 wks	Mon 1/9/06	Fri 1/5/07
Adding services and functions	8 wks	Mon 1/8/07	Fri 3/2/07
Adding utilities, control, monitoring	8 wks	Mon 3/5/07	Fri 4/27/07
Documentation	12 wks	Mon 4/30/07	Fri 7/20/07
Training	16 wks	Mon 7/23/07	Fri 11/9/07



Illustrative timeline: UI package / framework implementation (using RAD)

UI Package/Framework Implementation	82 wks	Mon 9/27/04	Fri 4/21/06
Facilities Set Up	4 wks	Mon 9/27/04	Fri 10/22/04
Start Up Deliverables	4 wks	Mon 9/27/04	Fri 10/22/04
Environments Set Up, Phase 1	3 wks	Mon 10/25/04	Fri 11/12/04
Migration and Conversion Plans	6 wks	Mon 11/15/04	Fri 12/24/04
Data conversion	26 wks	Mon 12/27/04	Fri 6/24/05
Gap analysis and design	26 wks	Mon 11/15/04	Fri 5/13/05
Implementation Plan	4 wks	Mon 5/16/05	Fri 6/10/05
Interfaces/integration design	16 wks	Mon 5/16/05	Fri 9/2/05
Environments Set Up, Phase 2	3 wks	Mon 6/13/05	Fri 7/1/05
Development, integration, testing	26 wks	Mon 7/4/05	Fri 12/30/05
Adding services and functions	4 wks	Mon 1/2/06	Fri 1/27/06
Adding utilities, control, monitoring	4 wks	Mon 1/30/06	Fri 2/24/06
Documentation	8 wks	Mon 1/30/06	Fri 3/24/06
Training	16 wks	Mon 1/2/06	Fri 4/21/06



APPENDIX C: USE CASES

Use cases express the behavior of a system, the functional requirements, in a way that helps technical experts and non-technical people alike understand that behavior.

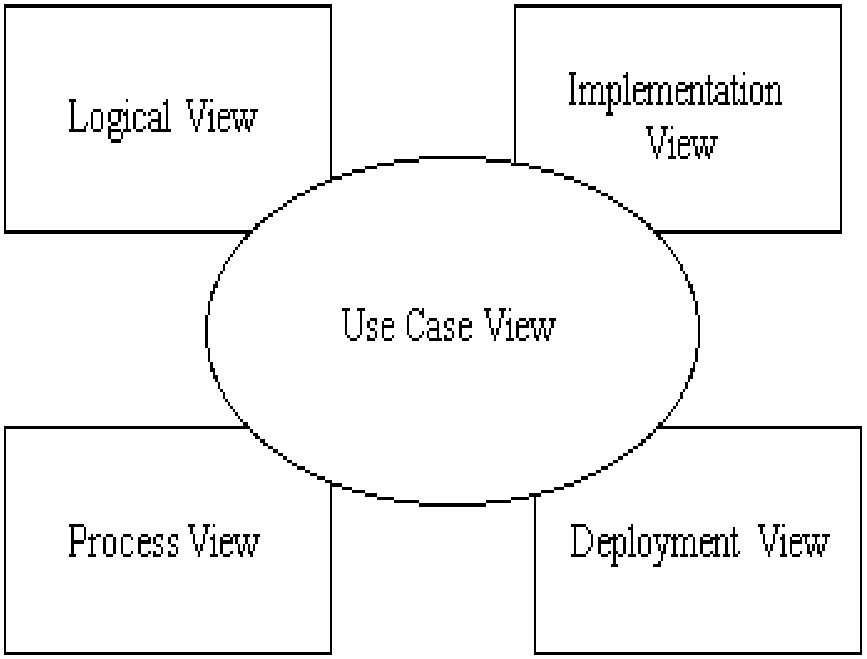
They document requirements in a way that are understandable and usable for technical as well as non-technical audiences while providing a single common format to document both user requirements and system requirements. This minimizes errors that can occur in translating user requirements (for non-technical audiences) into system requirements (for technical audiences).

Because use cases are readable and easily understood by customers, there is a higher probability that misunderstandings between the customer and the software team are resolved earlier, before the development is well under way, avoiding costly re-work late in the development lifecycle.

Use cases provide the basis for the whole object-oriented, software lifecycle including architecture, design (including GUI design), and development.

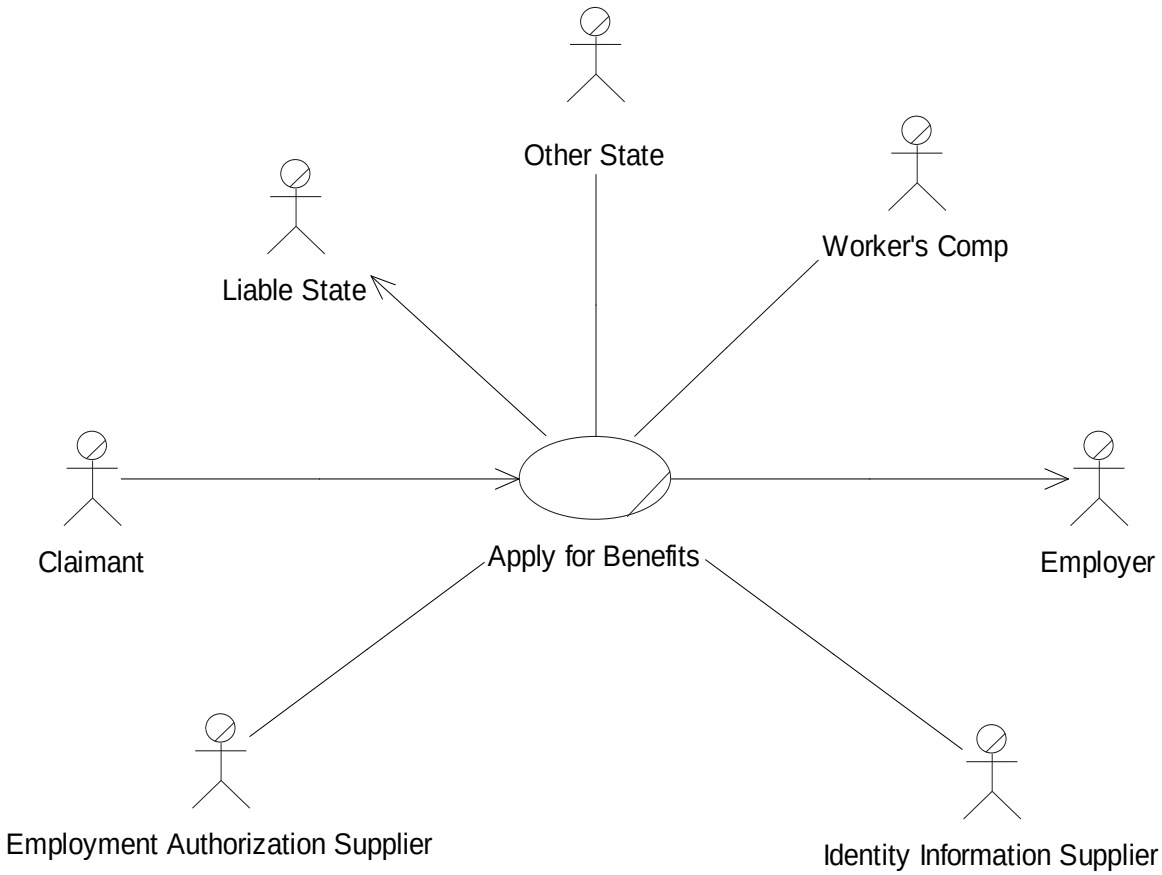
Use cases help testing efforts by facilitating the creation of test cases. All tests must contain a sequence of events, which will be followed to test a particular area of the system. Because use cases already provide requirements in a sequence, testers no longer have to guess at the order and content of user actions.

Conceptual location of use cases

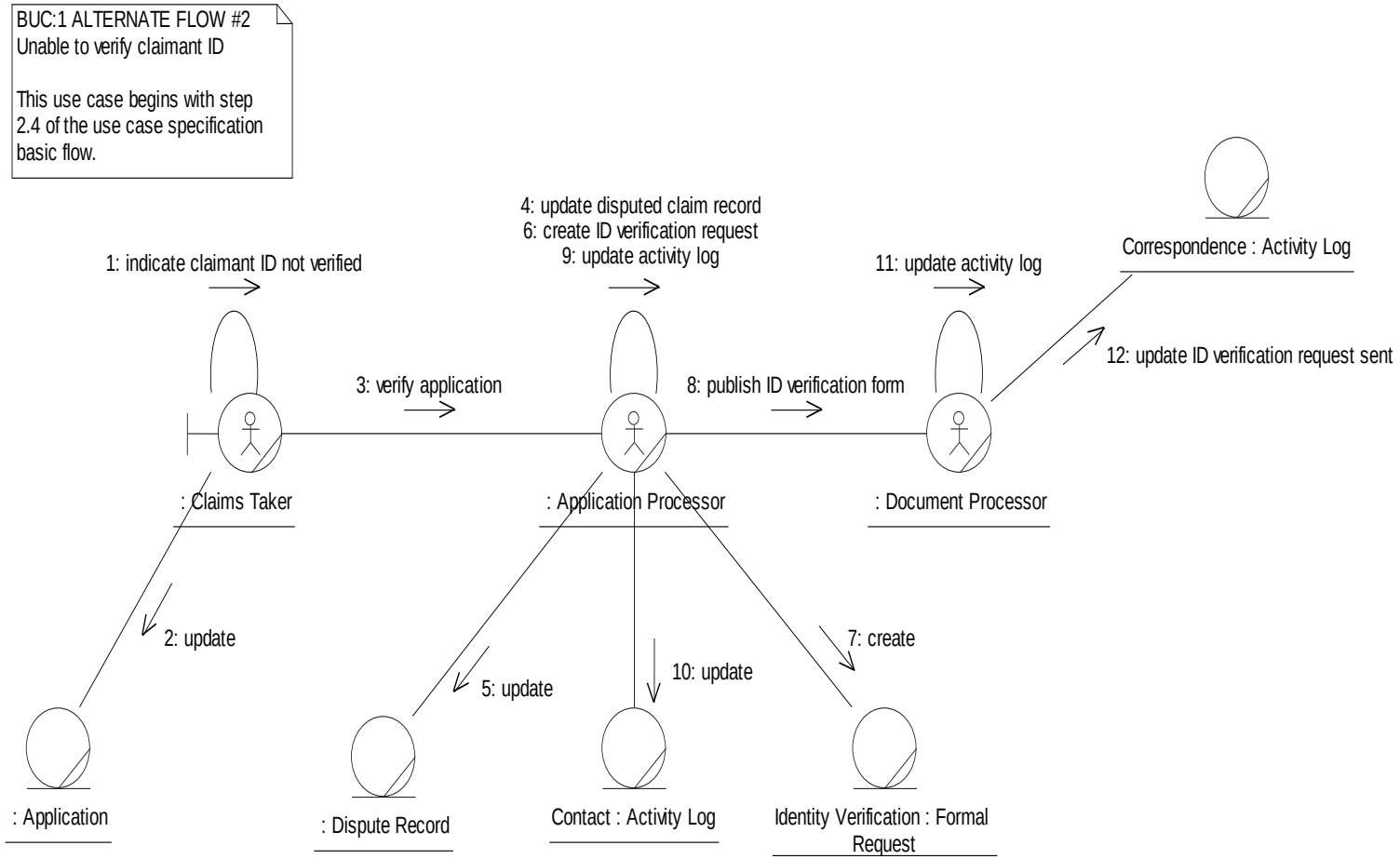


Use cases tie together the different perspectives needed in design and development of the system

Use case example: simple



Use case example: part of a real use case



Rational unified process (RUP)

Rational Unified Process®, or RUP®, has been used by other states for use case development – and is a tool we are considering for UI Modernization.

- RUP provides a software development methodology framework, and a flexible process platform for software projects.
- It provides a configurable architecture that enables you to select and deploy only the process components you need for each stage of the design.

APPENDIX D: RFP REQUIREMENTS CROSSWALK

"3.2.4 Strategic Plan

The Contractor must develop a detailed multi-year strategic implementation plan (Price Line # 7 Draft; Price Line # 8 Final) including priorities, phases and options to guide the Division of UI in achieving the specific improvements defined in the Requirements Document under Section 3.2.3. The Department of Labor must be able to implement discrete projects in a sequence over time such that each project provides progressive improvements not dependent on a subsequent project. The Strategic Plan must include, at a minimum, the following elements:

A breakdown of the required work into discrete projects within the overall initiative including all analytical and development activities as well as technological recommendations;

A narrative description of each project's scope and objectives, man hours required, skill sets required, likely duration, and estimated cost;

A prioritization of the projects, reflecting either relative criticality and logical order of precedence;

A recommended sequencing of the discrete projects on a multi-year timeline, representing a preliminary assessment of the most efficient and effective order of execution;

A statement of the incremental benefits each project will produce for the Division of UI's internal operations and for its customers;

A preliminary cost/benefit and return on investment (ROI) analysis of each project;

A preliminary assessment of change management needs for each project, including recommendations for addressing them;

A statement describing which projects have inter-dependencies such that they must be implemented in a particular sequence, and potential alternative implementation solutions; and

A project management organizational structure defining leadership roles and responsibilities, desirable staffing levels, and time commitments likely to be required to ensure efficient progress through the entire initiative.

A draft (Price Line # 7) must be submitted to the State Contract Manager (NJDOL Project Manager) for review and approval as determined by the State Contract Manager (NJDOL Project Manager). The Contractor will revise the draft to incorporate input from NJDOL. The Strategic Plan will be considered final (Price Line # 8) when it has been accepted without revision by the State Contract Manager (NJDOL Project Manager)."

APPENDIX D: RFP Crosswalk

REQUIREMENT	LOCATION IN THE STRATEGIC PLAN
A breakdown of the required work into discrete projects within the overall initiative including all analytical and development activities as well as technological recommendations;	For timelines, see 'the program of work' (high level and workstream timelines)
A narrative description of each project's scope and objectives, man hours required, skill sets required, likely duration, and estimated cost;	A project outline for each project is attached at Appendix A
A prioritization of the projects, reflecting either relative criticality and logical order of precedence;	The 'How have we reached this point?' section describes how projects have been prioritized *with* State staff
A recommended sequencing of the discrete projects on a multi-year timeline, representing a preliminary assessment of the most efficient and effective order of execution;	For timelines, see 'scope and timeline' (high level timeline); also see context and approach
A statement of the incremental benefits each project will produce for the Division of UI's internal operations and for its customers;	The project outlines attached at Appendix A define the benefits
A preliminary cost/benefit and return on investment (ROI) analysis of each project;	See note 1, overleaf
A preliminary assessment of change management needs for each project, including recommendations for addressing them;	Change management is discussed in 'organizing the program'. See note 2, overleaf
A statement describing which projects have inter-dependencies such that they must be implemented in a particular sequence, and potential alternative implementation solutions; and	For dependencies, see 'scope and timeline' (high level timeline); also see context and approach
A project management organizational structure defining leadership roles and responsibilities, desirable staffing levels, and time commitments likely to be required to ensure efficient progress through the entire initiative.	See 'organizing the program' chapter

APPENDIX D: RFP crosswalk notes

Note 1: cost:benefit analyses for each project

Estimated costs for the foundational projects and for NJ SUCCESS have been provided to the State separately.

Benefits have been articulated qualitatively in each project outline.

Note 2: change management

Change management is addressed as a program level issue and activity, in ‘organizing the program’; effective change management affects every aspect of the program and should be addressed in a coordinated fashion (by stakeholder group) across the program.

APPENDIX E: UI MODERNIZATION DELIVERY RISKS

In this appendix, we discuss the major risks facing UI Modernization *at the current time*.

When we launch the new program management office (PMO),a key first task will be to establish a risk register to track risks and related mitigation activities as soon as possible.

The risks are listed according to the part of the program they impact most:

- Overall program management
- Foundational projects
- Procure and build NJ SUCCESS
- UI business and culture change
- State IT capability enhancement

Additional risks were suggested in review stage and have been added at the end of this appendix. These are:

- *Insufficiently skilled vendor team*
- *Knowledge transfer is only given lip service by vendor*

Overall program management: major risks

Risk:

We lose control of program direction and delivery in foundational projects stage, owing to lack of control of detailed technical and business designs

Proposed actions:

1) Ensure the PMO is sufficiently staffed with appropriately skilled people. Skills needed include structured approaches to business design, technical design, contract management, project planning, risk mitigation and communications
2) Implement a standard project lifecycle and program controls (see chapters 3 and 4)
3) PMO to actively support project managers in project planning and managing delivery. The relationship with the PMO must be more than a reporting function (see chapter 3)
4) Ensure that participation in, and positive reports from, UI Modernization directly impact individuals' reviews (see chapter 3)

Overall program management: major risks

Risk:

UI Modernization team loses control of vendor design and development owing to insufficient appropriate expertise and resources.

(One State has recently had to halt a high profile project because the relationship with the vendor broke down).

Proposed actions:

1) Plan, prepare and adopt a formal vendor management approach (see chapter 4, organizing the program)

2) Ensure the PMO has experienced and skilled staff to oversee technical and business design – as well as contract manager(s) (see chapter 4, organizing the program)

Overall program management: major risks

Risk:

Projects fail to address serious issues owing to confusion about responsibilities across project team members from NJDOL UI, NJDOL IT and OIT

Proposed actions:

1) A single business project manager will be tasked with the overall delivery of each project – assisted by team members from the other agencies
2) Each project will be required to use a standard project lifecycle and toolset.
   - The project plan must include resourcing and responsibilities
   - Every super service request should also set out expectations
3) The PMO will provide project planning and management assistance
4) The PMO will encourage a ‘no blame’ approach for early failures, instead focusing on rescuing the situation, with input from the whole team

Overall program management: major risks

Risk:

The program is perceived as producing little benefit for the majority of stakeholders, creating a negative attitude towards UI Modernization

Proposed actions:

1) Invest in two-way communications with all stakeholders (see chapter 2, communications)
2) Consciously manage stakeholder expectations by
   - Taking stakeholder needs into account when planning
   - Ensuring successes are achieved for each stakeholder group relatively quickly
   - Communicating the successes to the group
3) Celebrate achievements publicly and loudly, to keep momentum going
4) Ensure that feedback loops are open and input is sought from all stakeholders (see chapter 4, change management)

Foundational projects: major risks

Risk:

Key foundational projects cannot be delivered to time, budget or specification

Proposed actions:

1) Technical oversight of the foundational projects will be critical given that few State staff have experience in the technologies to be implemented

2) Getting the best resources possible in place:
   - Identify technical training requirements
   - Bring in contractors to supplement areas of State weakness
   - Ensure that sufficient State resources are available to work on foundational projects and so learn the technologies (see Chapter 4, resources)

3) Getting controls and reporting processes in place as soon as possible
   - Provide basic project management training to new project managers
   - Conduct a seminar for all project managers, to introduce them to the project management requirements for the UI Modernization program

4) PMO to provide hands-on planning and management assistance to project managers in the first year, prioritizing by risk
   - New project managers and contractor project managers are likely to be higher risk

Foundational projects: major risks

Risk:

Staff working on the foundational projects are diverted back to LOOPS maintenance

Proposed actions:

1) We will agree up front which staff will be dedicated to UI Modernization going forward, leaving sufficient staff to handle 95% of maintenance issues
   - Resource planning is ongoing
2) Build contingency into the program budget to finance a change order for the NJ SUCCESS vendor's scope of work, if needed
   - This is to mitigate the risk that a foundational project fails and needs to be included in the core NJ SUCCESS build *after* the RFP is published
3) Where possible, we will use contractors to back-fill State IT experts in their 'maintenance' jobs, so they are freed up for UI Modernization. (We understand that this may be difficult as the skill sets needed can be hard to find)

Procure and build NJ SUCCESS: major risks

Risk:

NJ SUCCESS RFP is not developed to sufficient quality within target timeline (February 2004)

Proposed actions:

1) We must develop the procurement strategy early and in partnership with all major stakeholders: issues such as payment conditions, change order processes and risk profiles will need time to 'hash out'

2) We plan to start development of the use cases – as the heart of the statement of work – early; we will take advantage of UI use cases available in the NASWA community (Wisconsin use cases identified so far)

3) Ensure there is an experienced team to lead RFP development; we do not have the leeway for a learning curve

Procure and build NJ SUCCESS: major risks

Risk:

Department decides that a Rapid Applications Development (RAD) approach is not compatible with State procurement regulations

Proposed actions:

1) Close work with procurement division to identify how to fit RAD within procurement regulations
2) Demonstrate successful use of RAD in other states and other NJ departments if possible
   - Wisconsin's recent RFP has been sent to procurement already. Wisconsin defined requirements in terms of use cases and required the vendor to use 'iterative development'
3) Prepare a budget and schedule scenario for a waterfall development approach
   - An outline has already been developed in the technical architecture

Procure and build NJ SUCCESS: major risks

Risk:

We do not assess the costs of NJ SUCCESS vendor bids effectively, leading to a selection of the lowest *priced* bid

Proposed actions:

1) We plan to develop evaluation matrices (before the RFP is published) that give the best realistic picture of cost
   - Reflecting NJDOL UI management's focus on quality: while cost is important, minimizing risk of failure has time and again been cited as more important
   - Evaluating the total cost of ownership (TCO) of each solution proposed, including costing out the effort required from the state, licensing costs, maintenance costs, reasonable contingency for the solution… and so on

Procure and build NJ SUCCESS: major risks

Risk:

Insufficiently skilled vendor team: *"One of the major risks is that the vendor overstates the qualifications of their personnel or that the qualified personnel will not be retained for the length of the contract and may be replaced by less qualified personnel".* C Reimel, quality review input

Proposed actions:

1) The RFP will include detailed skills and experience requirements for the vendor team, focusing on key positions (project manager, lead architect etc)
   - we will also ask vendors to explain how they will encourage and reward their staff for staying through the life of the NJ SUCCESS assignment
2) The RFP will also include a detailed process for changing vendor team members
3) A key evaluation point will be that the vendor selected must have sufficient staff not only to deliver NJ SUCCESS but also to handle up to 50% staff turnover without serious disruption

Procure and build NJ SUCCESS: major risks

Risk:

Knowledge transfer is only given lip service by the vendor: *"Another risk is that knowledge transfer will not occur between these individuals".* C Reimel, quality review input

Proposed actions:

1) Knowledge transfer will be made a condition of payment, and we will detail our expectations *and measures* for how knowledge transfer will work

   - we need to be clear what *we* mean by knowledge transfer, rather than accepting a vendor version of it

1) We will establish a parallel State project to prepare our staff for knowledge transfer, monitor its achievement and approve milestones (and thereby payments)

2) We will invest our staff's time in knowledge transfer

UI business and culture change: major risk

Risk:

Because the direct costs associated with the business and culture change projects are much lower, this workstream is neglected

Proposed actions:

1) We will task key experienced managers with delivery of business and culture change projects
2) Business and culture change projects have measurable targets: so that success can be proved and celebrated
3) The PMO will be tasked to remember that the strategic importance of the business and culture change projects is that they will deliver interim improvements, while NJ SUCCESS is being built
   - Also, these projects will have an affect on the staff far more quickly than NJ SUCCESS, keeping them on board
4) We will ensure that some budget *is* available for business and culture change, not least to keep them on the financial radar

State IT capability enhancement: major risks

Risk:

State IT staff do not have sufficient skills and experience in key technologies, methodologies and products in advance of foundational projects and / or NJ SUCCESS design, development and testing

Proposed actions:

1) The IT skills development project is focused on avoiding this risk
2) Contingency actions for consideration include
   - Identifying sufficient and then back up contractor resources that can be called upon to assist at short notice
   - Allocating a proportion of the contingency funds to this specific risk
   - Adding a clause to the NJ SUCCESS RFP that would allow us to request extra assistance

APPENDIX F: DETAILED OBJECTIVES AND MEASURES

The objectives and measures for UI Modernization are attached in a MS Excel spreadsheet *in their current state*.

The objectives and measures will continue to be refined over the next few months, with a target of completion for the NJ SUCCESS RFP.

Our approach is to tie all use cases (our requirements) directly to delivery of one or more objective – thereby demonstrating to vendors the business benefits their proposed solutions must deliver.