

The T&A Software Implementation Checklist

Preventing Costly Implementation Failures Through Requirements Elicitation

Executive Summary

Bottom Line Up Front: The total cost for non-compliance is estimated to be greater than \$14 million, including revenue loss, fines, penalties, productivity loss, business disruption, reputation damage and other fees.¹ Organizations implementing Workforce Time and Attendance, Absence Compliance and Scheduling software face hidden risks that can trigger costly compliance violations, contract breaches and operational failures years after “successful” implementations.

The Reality You Face: You’ve been handed a mandate to upgrade your time and attendance system, but not the time or clarity to do it right. You’re concerned about compliance mistakes, but you’re too busy to stop and do it right. Meanwhile, **one in six companies indicated they had experienced litigation issues due to payroll errors**² and software, and compliance violations can result in penalties ranging from thousands to millions of dollars.

Why This Happens: It’s not a software problem, it’s a configuration and documentation failure. Organizations get blindsided when systems log regulatory requirements incorrectly because business requirements weren’t properly captured upfront.

Why Read this Checklist: This is your guide to getting it right before you configure anything. It outlines the essential categories of requirements — from shift patterns to union rules to compliance reporting — and shows you how to avoid the blind spots that sink even “successful” implementations.

What’s at Stake:



Healthcare:

HIPAA penalties range from \$141 to \$2,134,831 per violation, with regulatory caps varying by violation category and circumstances.³



Restaurants:

Scheduling compliance penalties vary by jurisdiction and can include one hour of pay for each missed meal break in California,⁴ \$300–\$500 per violation in Chicago,⁵ up to \$15,000 per violation in NYC courts, plus major chains facing multi-million dollar lawsuits.⁶



Transportation/Airlines:

DOT duty time violations can ground operations and trigger federal enforcement.

Requirements Elicitation: The Foundation That Prevents Failures

Why Most Implementations Fail: Workforce Software has a four-week training course just for basic configuration — and that's only surface level. The switches and settings are interconnected, so changing one thing cascades to impact others. Without proper requirements elicitation, you're configuring blind.

Critical Logic's "Measure Twice, Cut Once" Approach: We don't replace your vendor — we ensure they don't roll over you. Our team of seasoned professional consultants have deep Workforce platform expertise spanning multiple unique implementations of Advanced Scheduler including scheduling parameters, constraints, preferences, models and complex employee filters.

Essential Stakeholder Interview Process:

- **Executive Sponsors:** Strategic objectives, budget constraints, regulatory priorities
- **Department Managers:** Operational workflows, exception handling, approval processes
- **Supervisors:** Day-to-day scheduling challenges, staff coverage requirements
- **End Users:** Clock in/out procedures, break protocols, shift swap processes
- **Compliance Officers:** Regulatory requirements, audit trails, reporting needs
- **IT Teams:** System integration points, data migration requirements, security protocols

Requirement Categories: The Complete Framework

How to Use This Checklist

This checklist serves as your comprehensive requirements discovery tool before any system configuration begins. Each checkbox represents a critical consideration that must be addressed to prevent costly post-implementation failures.

Your Implementation Roadmap:

- 1 Requirements Discovery Phase:** Use this checklist to interview stakeholders and document your organization's specific needs across all categories — business, contractual and regulatory requirements.
- 2 Vendor Accountability:** Share relevant sections with your implementation vendor to ensure they understand the full scope of your requirements and can configure the system accordingly.
- 3 Validation Checkpoint:** Before going live, verify that your configured system addresses every checked item to prevent compliance gaps and operational failures.

Remember: The goal isn't just to check boxes — it's to ensure every requirement is properly captured, documented, and configured before you flip the switch on your new system.

Business Requirements

Workforce Scheduling Complexity

Multiple Shift Patterns: Day, swing, night, rotating, split shifts

Scheduling Constraints: Minimum staffing levels, skill-based assignments, cross-training requirements

Industry-specific Ratios: Nurse-to-patient ratios (healthcare), security coverage (airports), kitchen staffing (restaurants)

Overtime Management: Over 8 hours/day rules, over 40 hours/week calculations, consecutive day limits, fair distribution of overtime among employees

Call-out Procedures: Emergency coverage, on-call scheduling, replacement protocols

Schedule Change Management: Notice requirements, employee consent, premium pay calculations

Time Tracking and Attendance

Clock in/Out Methods: Physical terminals, mobile apps, biometric systems, badge readers

Location Restrictions: Geo-fencing, facility-specific clocking, remote work tracking

Time Rounding and Grace Policies: 15-minute, 6-minute, or no rounding rules; grace periods for clocking in/out before or after scheduled shift times

Exception Handling: Late arrivals, early departures, missed punches, manual corrections, to name a few

Break and Meal Period Tracking: Automatic deductions, manual entry, attestation requirements

Premium Pay Calculations: Shift differentials, hazard pay, holiday premiums

Payroll Integration Requirements

Pay Code Mapping: Regular time, overtime, holiday, sick, vacation, bereavement

Earnings Calculations: Base rate, shift differential, overtime multipliers, bonus calculations

Approval Workflows: Manager review, payroll approval, exception authorization

Cut-off and Processing: Pay period definitions, submission deadlines, correction windows

Reporting Integration: Time cards, labor distribution, cost center allocations

Advanced Scheduling Management

Long-range Planning: Ability to automatically populate schedules 12+ months in advance for budget planning and staff forecasting

Automated Schedule Generation: Rule-based automatic scheduling with constraints, preferences and optimization algorithms

Schedule Templates: Recurring patterns, rotation cycles, seasonal adjustments and holiday schedule variations

Assignment Rules: Skill-based matching, seniority preferences, fair distribution algorithms and workload balancing

Schedule Optimization: Minimum staffing coverage, cost optimization employee preference weighting, and efficiency maximization

Call-out Management: Emergency coverage protocols, on-call rotations, replacement hierarchies and notification systems

Schedule Publishing: Advance posting requirements, change notification deadlines and employee access controls

Absence Compliance Management

Paid Time Off (PTO): Accrual rates, carryover limits, blackout periods, and usage restrictions

Leave Without Pay (LWOP): Approval workflows, benefit impacts, duration limits and return-to-work procedures

Family and Medical Leave Act (FMLA): Eligibility tracking, certification management, intermittent leave calculations and job protection compliance

Paid Family and Medical Leave (PFMLA): State-specific requirements, benefit calculations, coordination with FMLA and reporting obligations

Absence Request Workflows: Manager approval processes, conflict resolution, coverage requirements and denial procedures

Bidding Systems: Vacation request priority ranking, seniority-based selection, blackout period management and fair distribution

Leave Balance Tracking: Real-time accrual calculations, usage monitoring, projection reporting and payout calculations

Contractual Requirements

Union Contract Compliance

Seniority-based Scheduling: Shift assignments, overtime distribution, vacation selection, layoff procedures

Union-specific Overtime Rules: Contract-mandated overtime rates, compensatory time conversion, seniority-based distribution, grievance prevention protocols

Break and Meal Periods: Contract-specified durations, timing requirements, penalty calculations

Schedule Notice Requirements: Advance posting deadlines, change notification periods, emergency exceptions

Grievance Prevention: Audit trails, violation tracking, justification documentation

Job Classification Management: Wage scales, promotion criteria, cross-training restrictions



High-risk Areas: Improper overtime distribution, seniority violations, insufficient rest periods, unauthorized schedule changes

Client Service Contracts

Staffing Level Commitments: Minimum coverage requirements, skill mix mandates, surge capacity

Service Level Agreements: Response times, availability metrics, quality standards

Billing Accuracy Requirements: Time tracking precision, rate verification, invoice validation

Reporting Obligations: Client dashboards, performance metrics, compliance attestations

Data Security Commitments: Access controls, audit logs, breach notification procedures

Vendor Accountability Standards

Configuration Documentation: Complete settings catalog, change management logs, testing protocols

Data Migration Responsibilities: Source mapping, validation rules, error handling, rollback procedures

Training Commitments: User training, administrator certification, ongoing support

Performance Guarantees: System uptime, response times, data accuracy benchmarks

Support Requirements: Help desk availability, escalation procedures, bug fix timelines

Regulatory Requirements

Federal Labor Law Compliance

Fair Labor Standards Act (FLSA): Minimum wage, overtime calculations, child labor restrictions, record-keeping requirements

Family and Medical Leave Act (FMLA): Leave tracking, certification management, return-to-work procedures

Americans with Disabilities Act (ADA): Reasonable accommodation scheduling, modified duty tracking

Equal Employment Opportunity: Non-discriminatory scheduling practices, shift assignment fairness

Healthcare Industry Compliance

HIPAA Privacy Protection: Employee access controls, audit trail requirements, minimum necessary standards

Nurse Staffing Regulations: State-mandated ratios, skill mix requirements, floating restrictions

Joint Commission Standards: Competency tracking, mandatory training completion, credential verification

CMS Conditions of Participation: Quality reporting, patient safety metrics, staff qualification tracking



Critical Risk: HIPAA violations face fines ranging from \$141 to \$2,134,831 per violation³

Manufacturing and Transportation Compliance

DOT Hours of Service: Duty time limits, rest period requirements, logbook accuracy

OSHA Safety Standards: Fatigue management, hazardous duty restrictions, incident reporting

State-Specific Regulations: Meal period laws, overtime thresholds, scheduling notice requirements

Restaurant and Hospitality Compliance

Predictive Scheduling Laws: 14-day advance notice, schedule change premiums, good faith estimates

Break Period Compliance: State-mandated meal breaks, rest periods, lactation accommodations

Minimum Wage Variations: Local ordinances, tipped employee rules, training wage exceptions

“Clopening” Restrictions: Minimum rest between shifts, premium pay requirements, employee consent



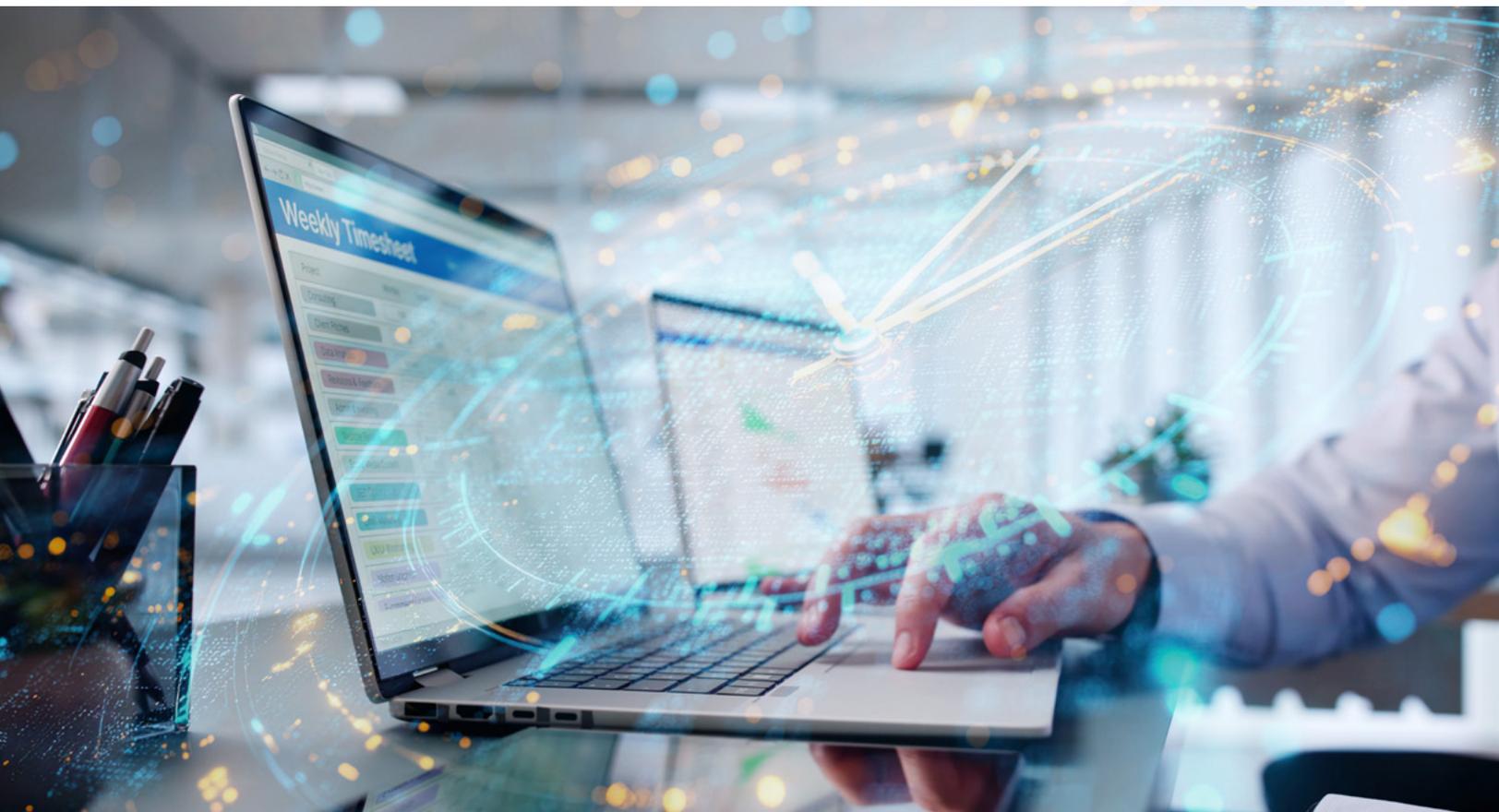
Financial Impact: California requires one additional hour of pay for each missed meal break, plus potential \$100 daily fines⁴

Multi-State Operations

Jurisdiction Mapping: State-by-state law variations, local ordinance compliance, federal preemption rules

Conflict Resolution: Overlapping regulations, most restrictive standard application, exemption management

Audit Trail Requirements: Multi-state reporting, jurisdiction-specific documentation, regulatory agency access



Implementation Validation Checklist

Data Migration and System Integration

Historical Data Preservation: Compliance record retention, audit trail continuity, regulatory access

Payroll System Integration: Real-time data feeds, error handling, reconciliation procedures

HR System Synchronization: Employee data consistency, position changes, termination processing

Third-Party Integrations: Biometric systems, access control, client billing platforms

Testing and Validation Protocol

Compliance Rule Testing: Validation of all regulatory and contractual requirements

Exception Scenario Testing: System behavior under unusual conditions, error handling procedures

Integration Stress Testing: High-volume data processing, concurrent user loads, system failover

User Acceptance Testing: Real-world workflow validation, usability confirmation, training effectiveness



Critical Logic's Risk-based Approach: Our expertise prevents costly disruptions through thorough testing and quality assurance.

Documentation and Training Requirements

Configuration Documentation: Complete settings catalog, business rule documentation, change procedures

Process Documentation: Step-by-step procedures, exception handling, escalation protocols

Training Materials: Role-based training plans, competency validation, ongoing education

Compliance Monitoring: Regular audits, violation tracking, corrective action procedures

Ensuring Alignment: Your Path to Implementation Success

The Hidden Truth: Organizations have expenses of up to \$5.47 million on compliance compared to an average cost of \$14.82 million for non-compliance — meaning the cost of doing it right is nearly three times less than the cost of getting it wrong.¹

Why Critical Logic's Approach Works:

- **Proven Methodology:** Our Integrated Quality Management (IQM) method ensures quality is built into every stage of your software implementation.
- **Deep Platform Expertise:** Extensive, deep implementations of Advanced Scheduler including scheduling parameters, constraints, preferences and models.
- **Comprehensive Coverage:** From policy editor configuration to project and task management solutions integration, we handle technical design, implementation and testing.
- **Risk Prevention:** Our RPA framework for production data setup and regression testing catches issues before they reach production.

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Success Metrics Organizations Achieve:

- Smoother implementations that stay on schedule and budget
- Higher efficiency through optimized workflows
- Audit confidence with built-in compliance validation
- Reduced operational costs through automated processes
- Scalable growth with maintainable, well-documented systems

Your Next Step: Don't let poor requirements execution blindside your organization with costly compliance failures years after implementation. What's your current plan to avoid compliance failures post-implementation?

Remember: You purchased COTS software because you don't want IT controlling your business. Partner with Critical Logic to make sure your vendor doesn't roll over you.

Contact Critical Logic

Your Workforce Software
Implementation Experts



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