



OREGON OFFICE OF  
**Public  
Defense  
Services**

# PDSC Financial and Case Management System

Business Case Version 3.0

# Authorized Signatures

PROPOSAL NAME AND DOCUMENT VERSION #	<b>PDSC Financial and Case Management System Project Business Case</b>		
AGENCY	Public Defense Services Commission - Office of Public Defense Services	DATE	August 15, 2022
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# Document Information

## 0.1 Document Purpose

This document describes the overall system needs and modernization efforts required to ensure that the Public Defense Services Commission (PDSC) can effectively address the current public defense crisis in Oregon and how a Financial and Case management System (FCMS) will afford those efforts to be achieved. .

## 0.2 Revision History

Revision	Date	Author	Comments
Original	6/4/2020	B. Meyer; K. Styles	Original draft.
0.1	7/6/2020	B. Meyer; K. Styles; OJD	Refinement; edits.
0.2	7/22/2020	B. Baehr; C. Fowler	Initial edited version.
0.3	7/23/2020	Team Review	Edits and additions.
0.4	7/27/2020	Team Final Review	Review; edit.
1.0	7/27/2020	Team approval.	Final document.
1.1	8/17/2020	Governance and Steering Committees	Edits and additions.
2.0	8/31/2020	Governance and Steering approval	Final document
2.1	5/31/2022	B. Meyer; K. Styles	Document Refresh
2.2	8/11/2022	Peer Review	Edits; Comments
3.0	8/15/2022	Governance, IT Committee and Steering Committee Approval	Final Document

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# Executive Summary

Over the last several decades Oregon public defense has faced a multitude of variables which have greatly impacted the effectiveness of counsel for the underserved populations. Several reports have indicated the cause and effect of these variables and provided valuable recommendations. In addition to the recommended action, the Oregon Legislature has directed the Public Defense Services Commission (PDSC) to organizationally respond to the effectiveness of counsel in Oregon, which can be directly correlated to House Bill (HB) 2003 (2021) increasing Commission membership from seven (7) to nine (9) members. HB 5030 (2021) directing the agency to establish a Compliance, Audit, and Performance (CAP) division. HB 5202 (2022) directed the PDSC to re-initiate the planning phases of the Financial/Case Management System (F/CMS) information technology project.

PDSC is focusing on the assurance that all eligible Oregonians have proper access to effective counsel. One way in which the Commission feels this goal can be achieved is through the implementation of a Financial and Case Management System (FCMS). This business case will serve as the justification for the undertaking of advancing services and counsel related to public defense. It is imperative that this document relay the current technical structure in which PDSC utilizes, and the inadequacies that limit the agency's ability to modernize efforts to better meet the needs of public defense.

Outlined below are comparative analyses of service plans in which PDSC has the potential to support an effort for system implementation. Found in these analyses are the costs, risks, and benefits to each plan. With implementing a new system there are bound to be risks both operationally and to the defense system. The business case addresses risk management, change management, and overall benefits with the desire to provide a full scope of understanding as it relates to this project and the delicate recipients who are the benefactors of a modernization effort.

# 1. Purpose and Background

## 1.1 Project Purpose

The purpose of this project is to replace PDSC's end of life, in-house built database structure with a cloud hosted Commercial-of-the-shelf (COTS) financial and case management system. Oregon public defense has been lacking a solution that not only provides timely payments to the contract and provider community, but a capability to capture comprehensive data on public defense.

With the implementation of the FCMS PDSC will meet Oregon public defense needs with the following system capabilities (*see section 3 Assumptions for a full list of assumed functionalities*):

- Financial Management
  - Attorney/Provider reimbursement claims
  - Payment schedule
  - Audit functions
  - Payment tracking
  - Paperless system
  
- Case Management
  - Comprehensive Data Collection
    - Legal work performed outside of contract
    - Case milestones (pretrial information, conditions of release, investigation practices, expert consultation, motions filed, and plea offers)
    - Basic event data
    - Case information (basic client demographics, initial charge(s), pretrial release/detention decisions, motions filed, expert consults, pleas offered, disposition, and sentencing).
  - Attorney qualifications
  - Attorney caseload
  - Attorney contract oversight
  - Timekeeping
  
- Reporting
  - System canned reports
  - System ad hoc reports
  - Direct database access via PowerBI (other) platforms for custom reporting

The above system attributes describe at a high-level the functionality that internal and external users can expect to see with the new system. Although this list is not exhaustive, it captures critical functions that would support PDSC for the first time with modern operational capabilities. The FCMS would also afford the agency with the ability to produce detailed and structured

reports as requested by the legislature and recipients of public defense services. PDSC desires a transparent and effective public defense model and believes that starts with modernizing operational technologies.

## 1.2 Background

PDSC, like many public defense agencies around the country, is failing to achieve its mission of providing competent and timely public defense services, and the system in which this failure is occurring lacks sufficient transparency, oversight, and accountability. Over the last three years PDSC has received several reviews of current business practices, capabilities, and public defense performance. The Sixth Amendment Center (6AC) published their report in 2019 which primarily focused upon governance, service delivery models, and internal practices, whereas the American Bar Association (ABA) published a report in 2022 describing the deficit of available public defenders and the need for proper data management and analysis. The ABA pointed directly to the need for the agency to acquire a centralized data system with the purpose of capturing basic, critical public defense information<sup>1</sup>.

In June 2022, Governor Kate Brown (Oregon) addressed her support of public defenders in Oregon, noting the work conducted by each lawyer and public safety stakeholder is critical to the success of Oregon's public defense. Brown specifically stated her support regarding the need for change with the following statement:

*“The current crisis in Oregon’s public defense system has many contributing causes and few immediate cures. To attract and retain lawyers to do this necessary work, caseloads must be reasonable, and salaries must be higher than they currently are. And the entire public defense system must be accountable for the public funds invested in it.”<sup>2</sup>*

PDSC understands that this is a systemic issue, however, it is further fractured by the current inadequate technical solutions to process, analyze and report public defense outcomes. Without proper reporting capabilities PDSC is left with little useful information to effectively support not only recipients of public defense, but those who administer the work. Currently, all data acquired for analyses is provided through contractual requirements or data share agreements with partner agencies. These data sources are not always consistent and often do not offer accurate or reliable data elements.

On June 1, 2022, PDSC presented before the Joint Emergency Board Subcommittee on General Government during a work session regarding agency reports. It was during this meeting that a Co-Chair noted the dire need for multiple agency plans. With many organizational changes from HB 5030 (2021) PDSC has implemented several workgroups to better understand the requirements of HB 5030, as well as begin to align critical agency

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<sup>1</sup> The American Bar Association and Moss Adams. 2022. The Oregon Project *An Analysis of the Oregon Public Defense System and Attorney Workload Standards*. Pg. 5. Retrieved from: [https://www.americanbar.org/content/dam/aba/administrative/legal\\_aid\\_indigent\\_defendants/ls-sclaid-or-proj-rept.pdf](https://www.americanbar.org/content/dam/aba/administrative/legal_aid_indigent_defendants/ls-sclaid-or-proj-rept.pdf)

<sup>2</sup> Governor Brown (Oregon). (2022, June 3). Response Letter to the Past Presidents of the Oregon Criminal Defense Lawyers Association.



practices. As part of this identification and internal analysis PDSC continues to find among its top priorities the implementation of the FCMS project. The agency has developed critical data elements and system requirements to bring before public defense stakeholders.

As indicated in the last few sections, PDSC has many factors to consider in their efforts when looking at resolutions. However, the agency is dedicated to move forward with ensuring public defense is improved upon in Oregon and will be accomplished through the careful considerations of business transformations. PDSC desires to employ a system that will allow internal staff to more accurately monitor attorney caseloads to ensure compliance with national best practice standards,<sup>3</sup> and report on the impact of public defense services to stakeholders through detailed data. Financial accountability will be met through the ability to produce detailed financial reports, deliver payments to providers per the Oregon Accounting Manual<sup>4</sup> processing timelines, and manage/audit requests for attorney case support service (CSS). The solution will also sustain data collection for analysis and evaluation purposes, reporting, and contract agreements. With an integrated financial and case management system PDSC will be able to provide the Oregon Legislature, Governor's office, stakeholders, and others with information and data on Oregon's public defense best practices, contract projections, and key performance measure indicators.

In addition to the integration needs, the solution will include technical and configuration training support services, and in-depth user training support services. The Request for Proposal (RFP) will become the basis for negotiations which leads to a vendor contract designated to provide the services described in this business case. The main objectives that PDSC will accomplish through this project are an increase in internal efficiencies, elimination of redundant and manual processes through workflow and electronic document management, contract management through effective and efficient data collection supported by integration capabilities, and internal and external data exchange to produce reports on caseloads and outcomes.

## 1.2.1 Current State

PDSC's organizational structure has shifted with the requirements of HB 5030 (2021). Previously PDSC through its Office of Public Defense Services (OPDS) Administrative Services Division (ASD) administered contracts for public defense services as well as the payment and reimbursement of case support services (CSS). The Appellate Division (AD) provides all appellate level representation to those eligible to receive public defense services. Since the adoption of HB 5030 PDSC has re-established organizational divisions (**Appendix E, PDSC Organizational Chart**) which now include Executive, Appellate, Administrative Services Division (ASD), and Compliance, Audit and Performance (CAP).

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<sup>3</sup> New York Office of Indigent Legal Services. (2016). *A Determination of Caseload Standards pursuant to § IV of the Hurrell-Harring v. the State of New York*.

<sup>4</sup> Department of Administrative Services. (2019). *Oregon Accounting Manual*. Chapter 15. Salem, Oregon. Retrieved from <https://www.oregon.gov/das/Financial/Acctng/Documents/15%20Accounting%20and%20Financial%20Reporting%20search.pdf>.

Historically the agency has utilized a series of in-house built Microsoft Access databases (DB) and Microsoft Excel spreadsheets to electronically manage business processes and store data. Configuration and maintenance of these tools (e.g. databases and spreadsheets) are managed ad hoc. The current informal change management process results in modifications to the databases, spreadsheets, and macros which is undesirable. The structure of the current technical framework in use by PDSC is reflected in Figure 1. The lack of integrated tools makes PDSC unable to track, monitor, or analyze contract data or reimbursements in an effective or efficient manner.

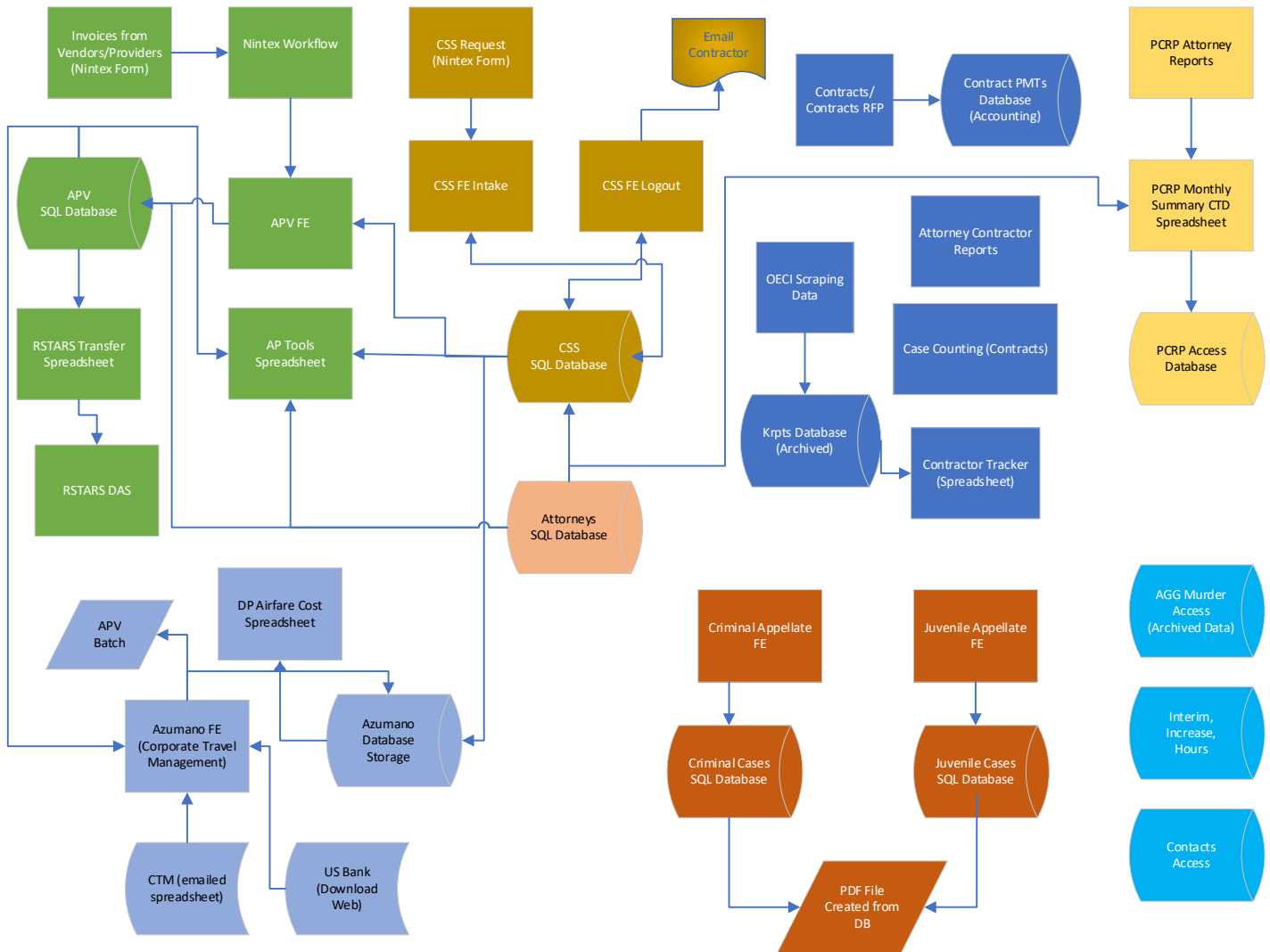


Figure 1. PDSC Current In-House Technical Framework

**Issues with framework:**

A “customized front-end” spreadsheet is created for each user specific to their job duties. Each spreadsheet contains worksheet functions and computations determined by a technician and is stored on an unsustainable platform.

Limited integration across databases. The accounting and contract teams enter and access the same data in multiple tools which often results in duplicate data entry. Separate records are maintained, or users are required to retrieve data from a different database.

Providers submit data in inconsistent formats. This requires OPDS staff to use a macro to “clean the data” through a manual process so the data can be converted into columns and formats appropriate for consumption.

- No user/role-based security.
- Database back-end configuration is accessible and can be manipulated by all authorized users.
- No capability to integrate online forms with internal database(s). Attorneys or clients submit client referral forms electronically and inconsistently (e.g., through the Web, email, fax), and the information must be manually entered in the current tools.
- All necessary documents related to a client record are stored in a separate location due to the incapability of an Access database to store documents. This type of set-up requires inefficient use of staff time to find the information and exposes security risks to confidential data.

Proper tools and functionalities are critical to PDSC more now than ever, specifically with the reorganization efforts called out in HB 5030. Each division within PDSC utilizes the current technical solutions, however, several divisions will continue to fall short without the modern capabilities of a financial and case management system. The CAP Division specifically will be impacted by a new system as its major functions are to analyze compliance of trial level and juvenile (PCRP) contracts, research analytics of public defense outcomes, and conduct internal audits of agency operations and procured services<sup>5</sup>. These functions cannot be executed with current technology and will require a robust, secure, and highly functioning system to successfully produce the requirements noted above.

## Executive Services Division

The Executive Division has primary responsibility for the agency’s leadership and governance. It develops and implements the agency’s vision and ensures compliance with ORS Chapter 151. Pursuant to ORS 151.216, the Public Defense Services Commission (PDSC) has oversight over the agency and the state’s public defense system. The Executive Division works closely with the PDSC to develop the agency’s vision and establish policy in the provision of public defense services. The PDSC meets approximately 10-12 times per year, and the division works with the PDSC to plan these meetings. HB 5030 (2021) organized the Executive Services Division into the following three sections: (1) Administration; (2) General Counsel; and (3) Communications and Legislation. Internally, the Executive Division oversees all other OPDS divisions, with each division having supervisors that report to either the executive director or deputy director. It also manages the agency’s legal compliance. Externally, it manages the agency’s positions on legislation and policy development. It also manages communications to

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<sup>5</sup> HB 5030. 2021. Compliance, Audit and Performance Division. Package 805 and 807. Retrieved from: <https://olis.oregonlegislature.gov/liz/2021R1/Downloads/CommitteeMeetingDocument/245175>

elected officials, governmental actors, public defense attorneys, the media, and other interested parties

## Appellate Division (AD)

The Appellate Division provides statutorily and constitutionally mandated legal representation to financially eligible persons in a wide variety of case types initiated throughout the state. The AD has two sections: Criminal Appellate Section (CAS) and Juvenile Appellate Section (JAS). The CAS provides appellate representation for criminal defendants in misdemeanor and felony appeals this includes capital cases, contempt cases, DNA-related appeals, appeals by crime victims, and appeals from decisions of the Board of Parole and Post-Prison Supervision. The JAS provides appellate representation to parents in juvenile dependency cases (this includes jurisdiction and permanency decisions) and termination of parental rights.<sup>6</sup> From 2010 to 2018, case referrals have increased by 133%. The AD's business process for case management uses Access databases to store manually entered data received from online referral forms. Inefficiencies include duplication or omission of information, creation of paper files, and manual research in Oregon Judicial Department (OJD) systems (i.e., Oregon eCourt Case Information (OECI), Appellate Case Management System (ACMS)) for missed or inconsistent data.

## Administrative Services Division (ASD)

The Administrative Services Division provides agency-wide administrative support and central services for the agency. The Administration Services Division sections are responsible for agency leadership and central agency administration ensuring compliance with ORS Chapter 151. ORS 151.216 directs the agency "to maintain a public defense system that ensures the provision of public defense services consistent with the Oregon Constitution, United States Constitution, and Oregon and national standards of justice.". Effective management of this program allows the agency's service delivery staff to focus on providing excellence in core business program delivery and customer assistance.

The newly established division is organized into the following sections based on service delivery:

- Administration
- Budget & Finance, Accounting & Accounts Payable
- Case Support Services
- Human Resources
- Procurement & Contract Services
- Facilities
- Information Services (known to the agency as Information Technology)

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<sup>6</sup> Office of Public Defense Services. (2019). *Agency Requested Budget 19-21*. Appellate Division.

## Compliance, Audit and Performance (CAP) Division

The Compliance, Audit and Performance Division has been established to help strengthen the agency's program management, performance, and oversight. The CAP Division bears primary responsibility for ensuring that the agency continuously meets its obligation to provide high-quality, zealous legal representation for those in Oregon entitled to court-appointed counsel by monitoring the delivery of public defense services and providing guidance to the PDSC and agency regarding policies and procedures that will support and promote high-quality representation.

The CAP Division's plan for improvement is staged in two phases. Phase I encompasses immediate agency needs and building the agency's internal monitoring and evaluation capacity, while developing the policies and procedures that serves as the base for the Adult and Juvenile Trial Divisions. Phase II encompasses the development of a monitoring and support plan for providers and entities. It is divided into two sub-phases, which reflect the agency's current limited information technology and data infrastructure and the anticipated capacities that will come with the implementation of a Financial Information Management System, which is anticipated to occur by 2025.

## 2. Alternatives Analysis

### 2.1 Assumptions

The PDSC FCMS Project assumes successful implementation will be measured through alignment with the goals, outcomes, and outputs identified in [Appendix A](#). The Project Management Team will manage the project and coordinate configuration and implementation of the solution.

The alternatives analysis was based on these assumptions:

- Solution meets accessibility standards.<sup>7,8</sup>
- The investment time frame for this project is more than 10 years.
- The solution includes authorized user statewide access and online availability.
- PDSC does not have internal IT resources available to build and maintain the solution.
- A vendor developed solution would be hosted by the vendor or at PDSC.
- PDSC reviewed the 2016 Oracle settlement and did not find any complementary goods or services from the Oracle service catalog that will meet the needs of the FCMS solution.

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<sup>7</sup> Federal Communications Commission (FCC). (2020). *Section 508 of the Rehabilitation Act*. Retrieved from <https://www.fcc.gov/general/section-508-rehabilitation-act> and

<sup>8</sup> W3C. (2018). *Web Content Accessibility Guidelines (WCAG) 2.1*. Retrieved from <https://www.w3.org/TR/WCAG21/>.

- PDSC reviewed NICUSA, Inc. options for development of a FCMS solution and did not determine a viable path.
- FCMS is not considered a mission-critical system, and therefore it does not require the highest level of up-time (99.9% is sufficient with approximately 45 minutes of downtime per month, in addition to required maintenance and patches).
- The solution will include the ability to collect, transmit, and process legal records, that contains highly-sensitive protected client information which includes but not limited to: Personally Identifiable Information (PII); lawyer-client privilege as designated by Oregon Evidence Code (OEC) Rule 503; and other data subject to protection under ORS Chapter 40 Evidence Code;<sup>9</sup> and CFR 42 Part 2 Confidentiality of Substance Use Disorder Patient Records.<sup>10</sup>

The financial analysis for the alternatives was based on these cost assumptions:

- The investment time period for this project is more than 10 years, however the cost model projects five (5) years based on the Cost Assumption worksheets included in [Appendix B](#).
- Upon business case approval, Oregon’s Legislature will fund a Special Purpose Appropriation to be used for the acquisition and implementation of the new technology solution.
- On-going maintenance and support of the solution will be included in the PDSC base budget.
- The Microsoft Azure estimator was used to generate cloud-hosted estimated storage costs with an addition of vendor management costs.

As funding is made available, the Public Defense Services Commission will implement a series of business and technology improvements over three (3) years. The FCMS Project Team has adopted strategies, as shown in [Appendix C](#), to enable this significant transformation and minimize risk. The strategies address business, technology, and risk management.

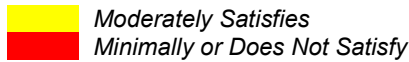
## 2.2 Benefits/Risk Criteria Weighting

No.	Benefit / Risk Criteria	Definition
1	Minimized Initial Capital Cost	The total one-time capital cost for implementation development of the FCMS solution.
2	Minimizes Costs to Maintain	The annual cost to maintain the FCMS solution.
3	Provides Operational Improvement	The positive impact to business operations relative to each alternative. Addresses the previous opportunities.
4	Addresses Core Business Problems	Whether the solution addresses the business problems identified in the Problem Definition section of this document.
5	Meets High-level Solution Requirements ( <a href="#">Appendix D</a> )	Whether the solution will successfully address the requirements identified in the RFP.
6	Provides Stakeholder Benefit	The benefits to providers and major stakeholders for each alternative.

 *Significantly Satisfies*

<sup>9</sup> OregonLaws.org. (2020). *Chapter 40 Evidence Code*. Retrieved from <https://www.oregonlaws.org/ors/chapter/40>.

<sup>10</sup> Electronic Code of Federal Regulations. (2016). *Title 42 Part 2*. Retrieved from <https://www.ecfr.gov/cgi-bin/text-idx?rgn=div5;node=42%3A1.0.1.1.2>.



## 2.3 Alternatives Identification

Alternatives considered for the FCMS Project include:

- Status Quo / Enhance Current System would provide no benefit and would further complicate the collection, analysis, and reporting of data with the potential for a full system failure.
- Commercial Off-the-Shelf (COTS) / Single-Solution Provider system that is internally (locally) hosted and requires minimal configuration to meet the needs of PDSC.
  - A vendor/cloud hosted COTS system requires minimal configuration to meet the needs of PDSC.
- Best of Breed / Custom Build system with specific functionality that will provide comprehensive integrated options with multiple vendors.

**Note:** To maintain and/or attempt to enhance the current PDSC tools is not recommended due to the platform dynamics, stability, on-going sustainability, and limited functionality.

Research was conducted to determine the advantages and disadvantages of each technology alternative. Results were factored into the assessment of each alternative to determine the extent to which it aligned with the PDSC project vision,<sup>11</sup> operational business needs, anticipated future growth, hardware and software costs, and implementation strategy. A preliminary breakdown of the advantages and disadvantages for each alternative is provided below.

Alternatives Analysis	Status Quo	COTS	Best of Breed
Leverage core solution that is operationally proven by other similar customers.		X	
Configurable solution to meet PDSC core financial and case management business needs.		X	X
Capacity to leverage changes / product improvements to core COTS at reduced or no additional cost.		X	
Vendor employs necessary technical staff to support system.		X	
System configurable to comply with state and federal regulatory standards.		X	X
Security systems and user authenticated access built into system.		X	X
System scalability.		X	X
Increased automation capabilities facilitated by integrated product.		X	X
Business processes are controlled mainly by the software provider, driving what the end state business architecture will look like. This can control customization and increase uniformity across the state.		X	
Relative Usability: High		X	X
Elimination of business and data silos.		X	X

<sup>11</sup> Office of Public Defense Services. (2020). *Project Vision Statement*.

Customized functionality designed to specifically meet PDSC core financial and case management business needs.			X
Solution that surpasses the technical and business capabilities of the current PDSC tools.		X	X
Greater opportunity to apply a business-driven design approach with maximum system flexibility.			X
Opportunity to incorporate an acquisition strategy that allows for a modular technical approach and separate contracts by modular function.			X
Security designed to PDSC standards and specifications across multiple platforms.		X	X
Transaction capacity designed for scalability.		X	X
Integration capabilities based on PDSC specifications and flexible technology.		X	X

## 2.4 Alternative A: Status Quo/Enhance Current Tools

To preserve the current state of the created tools and/or to enhance the architecture to encompass financial and case management systems will not remediate the administrative challenges faced by PDSC. To maintain status quo is not a viable solution due to technology age, complexity, and platform dynamics. Should the current tools experience a significant failure, PDSC would need to execute an emergency procurement to engage a vendor to either fix the existing tools, procure other systems, or return to a completely manual process which would result in hiring multiple staff. Significant cost would be associated with an emergency procurement. As a result, the business case does not detail cost projections or recommend a status quo alternative. The return to a one-hundred percent manual process is unsustainable and would result in agency missteps. The status quo does not meet the current need for PDSC and is not positioned to be enhanced to meet future needs.

No.	Benefit/Risk Criteria	Rating	Justification
1	Minimized Initial Capital Cost	Green	Requires no additional capital.
2	Minimizes Costs to Maintain	Green	Requires no additional capital.
3	Provides Operational Improvement	Red	Fails to provide operational improvement.
4	Addresses Core Business Problems	Red	Does not address core business problems.
5	Meets High-level Solution Requirements (Appendix D)	Red	Does not meet solution requirements.
6	Provides Stakeholder Benefit	Red	Provides no benefit to stakeholders.

### 2.4.1 Cost

The cost to perform this work is undetermined but would require multiple positions in both information technology and program analysis and significant infrastructure costs.



## 2.4.2 Risks

The primary risk to continue status quo is complete unexpected failure of the tools which are at end-of-life. When the tools fail, PDSC will be left with paper-based tools to conduct business. Failure to implement a viable solution leaves PDSC unable to meet the goals and strategies outlined in the PDSC 2016-2021 Strategic Plan<sup>12</sup> and the findings and recommendations of the 6AC (2019), ABA (2022).<sup>1314</sup>

## 2.4.3 Benefits

There are no tangible benefits for PDSC to maintain the status quo or enhance current tools.

## 2.5 Alternative B: Commercial Off-the-Shelf/Single-Solution Provider

A Commercial Off-the-Shelf (COTS) product, provided by a single-solution provider, presents a single, central data model and identifies a data transition plan that will be the responsibility of the successful vendor. This approach reduces the complexity of data integration through a reduction in the number of systems that must be integrated and complexity of data exchanges. A COTS solution will decrease design, development, training, and implementation costs. PDSC will be able to take advantage of vendor provided enhancements generated and paid by other customers. Additional advantages to a COTS product through a single-solution provider (SSP): access to vendor supported user community, troubleshooting techniques unique to public defense business practices, and a resource for public defense best practice identification. The COTS approach also simplifies security, with a single security system implemented across all modules and provides a more complete packaged training and communication solution. Additionally, the COTS solution will provide a cloud-based environment hosted by the selected vendor.

A COTS system through a single-solution provider will require one procurement, one contract, and one change order / amendment process. With the re-establishment of an IT Infrastructure in place OPDS will be well equipped to handle this workload.

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<sup>12</sup> Office of Public Defense Services. (2016). *Public Defense Services Commission Strategic Plan 2016-2021*. Strategic Plan: Mission Statement. Retrieved from <https://www.oregon.gov/opds/commission/reports/PDSCStrategicPlan2016-2021.pdf>.

<sup>13</sup> Sixth Amendment Center. (2019). *The Right to Counsel in Oregon: Evaluation of Trial Level Public Defense Representation Provided Through The Office of Public Defense Services*. Executive Summary. Retrieved from [https://sixthamendment.org/6AC/6AC\\_Oregon\\_report\\_2019.pdf](https://sixthamendment.org/6AC/6AC_Oregon_report_2019.pdf).

<sup>14</sup> ABA Citation

No.	Benefit/Risk Criteria	Rating	Justification
1	Minimized initial Capital Cost		Requires large capital outlay.
2	Minimizes Costs to Maintain		Would require capital for the vendor or PDSC to provide full continued support.
3	Provides Operational Improvement		Provides a path for improvement.
4	Addresses Core Business Problems		Solution could be designed and configured to meet the specifications needed.
5	Meets High-level Solution Requirements ( <a href="#">Appendix D</a> )		Selected vendor would provide a solution that meets all the mandatory requirements.
6	Provides Stakeholder Benefit		Provides an integrated solution with other data collection system.

## 2.5.1 Cost

This project is expected to begin implementation by the end of the 2023-25 Biennium. Data gathered from various vendors and other advanced technical projects was used to generate projection models for an internal and external hosted COTS solution. High-level cost estimates to implement an integrated financial and case management system were developed through estimated market comparisons. A high-level cost estimate is included in [Appendix B](#).

Item	Total Cost July 2023-June 2027
Core Case Management System (CMS) – Vendor	\$2,016,000.00
Implementation	\$180,000.00
Data Migration	\$120,000.00
Hosting & Support	\$200,000.00
Project Management Vendor	\$607,750.00
System Architecture	\$643,100.00
Report Management Configuration/Customization – Vendor RSTARS	\$310,650.00
Network Infrastructure	\$136,300.00
Possible Integration Work	\$600,000.00
OPDS Hardware (New Requirements/Lifecycle)	\$200,000.00
QA Vendor	\$825,000.00
Technical Team – OPDS (2-OPA 3/1-ITS 4)	\$1,866,748.00
Training – Vendor/OPDS	\$440,000.00
Travel – Vendor/OPDS	\$110,000.00
Overhead - \$30k/year	\$120,000.00
Change Management Vendor (Project and Organization)	\$800,000.00
<i>Total All Funds</i>	<b>\$9,175,548.00</b>

## 2.5.2 Risks

The greatest risk for this alternative is that there is a relatively large operational impact to PDSC, given that it will require new business processes and workflows as well as bringing on a

full IT Infrastructure to replace services previously provided by OJD. This will require changes and/or additions to current business processes to accommodate the capabilities and requirements of the vendor solution. However, it is a goal of the project to limit this impact as much as possible. Additionally, this solution provides less control over configuration and data field requirements. Legislative mandates or rule changes may require more time to implement in a COTS solution than the Best of Breed alternative.

### 2.5.3 Benefits

The purchase of a COTS FCMS will provide quantitative data that can be monitored, analyzed, and measured to track business processes of public defense services. Implementation of a COTS solution will help quantify processes for quality improvement, transparency, and reporting for Oregon's public defense services. Single-solution provider options such as COTS decreases design, development, training, and implementation costs. Additionally, a vendor provided solution reduces the impact on ongoing technical resources.

Below are benefits of a COTS solution:

- Presents a single, central data model and identifies a data transition plan.
- Reduces complexity of data integration.
- Requires only one procurement, one contract, and one change order/amendment process.
- Vendor provided enhancements.
- Access to enhancements paid for by other customers.
- Accessible data for high level analysis of public defense services for evaluation and reporting purposes.
- Real time data entry.
- A status alert tool to inform the user when an important action needs attention.
- Role based access.

## 2.6 Alternative C: Best of Breed/Custom Build

This alternative consists of custom development and use of multiple systems (and possibly vendors) that represent the best commercial product in each specific area (financial management, case management, document repository). Each product would be procured individually and/or through a "general" contractor/integrator. Complexity increases substantially when there are multiple solutions to be integrated for the FCMS. Additionally, a custom solution would require internal resources and human capital considerations not currently available at PDSC. The cost to augment staff would be considerable. To hire or contract would require a lengthy process due to very limited qualified resources.

No.	Benefit/Risk Criteria	Rating	Justification
1	Minimized initial Capital Cost		Requires largest capital outlay.
2	Minimizes Costs to Maintain		Requires greatest ongoing capital.
3	Provides Operational Improvement		Can provide metrics related to operational improvements and can be customized to do so.
4	Addresses Core Business Problems		Could be designed to fit the exact specifications that are needed.
5	Meets High-level Solution Requirements (Appendix D)		Custom-built applications can be tailored to the requirements of PDSC and providers.
6	Provides Stakeholder Benefit		Provides options for many stakeholder benefits but must be known in advance to be considered as a requirement.

### 2.6.1 Cost

The Best of Breed / Custom Build is not a viable financial option for this project. A projection model for separate financial and case management systems that would be internally hosted has a total projected cost of \$10,654,548. This projection was formulated based on estimated market comparisons. A high-level cost estimate is included in [Appendix B](#).

Item	Total Cost July 2023-June 2027
Core Case Management System (CMS) – Vendor	\$3,300,000.00
Implementation	\$180,000.00
Data Migration	\$120,000.00
Hosting & Support	\$220,000.00
Customization	\$175,000.00
Project Management Vendor	\$607,750.00
System Architecture	\$643,100.00
Report Management Configuration/Customization – Vendor RSTARS	\$310,650.00
Network Infrastructure	\$136,300.00
Possible Integration Work	\$600,000.00
OPDS Hardware (New Requirements/Lifecycle)	\$200,000.00
QA Vendor	\$825,000.00
Technical Team – OPDS (2-OPA 3/1-ITS 4)	\$1,866,748.00
Training – Vendor/OPDS	\$440,000.00
Travel – Vendor/OPDS	\$110,000.00
Overhead - \$30k/year	\$120,000.00
Change Management Vendor (Project and Organization)	\$800,000.00
<i>Total All Funds</i>	\$10,654,548.00

## 2.6.2 Risks

The primary risks of this alternative are the lack of available internal resources and multiple vendors/software systems. Risk is maximized through the custom requirements of integrating separate financial and case management products to meet the FCMS need. While the solution procurement will accommodate training for the products, it remains incumbent on PDSC to cross-train and be able to maintain the combined solution going forward. This alternative will require PDSC to expend additional resources to ensure continued success in the system use, maintenance, and support and to ensure the successful business process workflows are developed and upheld. It is highly likely that PDSC will be unable to expend the requisite resources necessary for this alternative post implementation.

## 2.6.3 Benefits

There are very few benefits in the development of the FCMS solution through the integration of multiple products. These benefits only exist with more PDSC control over internal resources and specific requirements for each product and vendor. In addition, the alternative allows custom configuration to meet the needs of the stakeholders through enhanced implementation and on-going costs.

## 2.7 Financial Analysis

Complete financial analysis of the COTS / Single-Solution Provider (local and external host) and Best of Breed alternatives and financial assumptions are provided in [Appendix B](#).

## 2.8 Risk Management

The F/CMS Project Team has adopted strategies to enable this significant transformation and minimize risk. The strategies address business, technology, project management, and risk management.

### 2.8.1 Business Strategies

Integral to the progress of the FCMS project is the business approach selected for implementation. This establishes the necessary order or approach to implement the significant business transformation that is required as part of the migration toward an enhanced electronic system. Business strategies include:

- **Business Processes.** The FCMS project governance model identifies the organizational entities and authorities to facilitate the project implementation and business transformation.

Business processes will evolve to support the project outcomes (see [Appendix A](#)). Many of the FCMS outcomes for efficiency improvement combined with an integrated computer system will require the standardization of data entry, changes to business processes, and on-going analysis.

- **Change Management.** While the FCMS project is technical implementation of a solution, the project is also business transformation. This requires management of the change related to new workflow processes, clear and often communication to all stakeholders, and complete change management training for the project management team and trainers. Change management activities are essential and need to be sufficiently funded and planned.
- **Organizational Support.** Key to successful implementation of the FCMS project is adequate organizational support, both internally and externally. A clearly defined and understood set of goals, outcomes (see [Appendix A](#)), and business benefits positions the project to secure funding and executive-level support necessary for success. Internal and external stakeholders must receive constant communications and be educated on planned business changes, technologies, and benefits.

## 2.8.2 Technology Strategies

The business strategies are supported by several interrelated technology strategies. These strategies outline the general approach for technology components being developed or enhanced to support a fully electronic system. Primary technology strategies include:

- **Financial and Case Management (FCMS)** is the foundation. A FCMS integrated solution will facilitate the development of new business processes and workflows for stakeholders to manage activities of PDSC at a level of efficiency that is not possible in a non-integrated, manual entry, paper-based environment. An integrated FCMS system will enable OPDS to deliver the right information to the right people at the right time in an efficient and expeditious manner. This is the necessary foundation to engage stakeholders internally and externally in an electronic infrastructure.
- **Leverage Current Market.** Procure an integrated, packaged FCMS technology solution supported through PDSC enterprise applications for other major components where applicable.
- **Enhanced Infrastructure.** Current service provider network capabilities are sufficient with minimal investment to provide statewide service for the new system because of enhancements made for the Oregon eCourt project.

## 2.8.3 Project and Risk Management Strategies

Management of the overall project and risks is critical to the successful implementation of the project and the timeliness of execution. Project management and risk strategies include:

- **Pilot Implementation.** PDSC will implement the technology solution in pilot offices (i.e., Marion,

Polk, and Linn Counties). Only after the pilot implementation is configured and operational will the OPDS proceed with statewide implementation.

- Incremental Roll-out. Implement in a staged roll-out designed to minimize disruption and ensure testing is complete. Large scale business transformation and technology projects inherently involve risk and are best managed closely with an incremental roll-out.
- Project Management. PDSC has a FCMS Project Team in place to implement and monitor project work. An external quality assurance contractor will provide ongoing and periodic assessment of risks and quality.
- Resources. PDSC will maximize use of current resources familiar with the PDSC FCMS project's objectives, strategies, and initiatives. Existing technologies will be leveraged where appropriate, and statewide partnerships will be established with other organizations to integrate data and services.
- Contract Approach. PDSC will use open and competitive procurement processes to ensure the best solution is chosen. The contract and any change requests will be reviewed and decided through governance leadership.

Organizational Capability and Capacity. PDSC will provide the necessary talent and experience to manage the overall project.

## 2.9 Change Management

***“State government recognizes the need for change management as a strategic element of successful initiatives...”<sup>15</sup>***

The goal of Change Management (CM) is to drive adoption and usage of the technical solution. CM focuses on the percent of intended benefits that rely on work being successfully performed differently when the solution is in place.

PDSC understands Change Management (CM) and Project Management (PM) are complementary disciplines that share project success as their common objective and that the greatest chance for success of complex and complete enterprise transformations requires the successful application of both CM and PM. PDSC will apply both CM and PM on the FCMS project. PDSC recognizes the combined effectiveness of CM and PM, along with the level of executive sponsorship, will determine the project's overall success in meeting intended goals, objectives, and outcomes (see [Appendix A](#)).

### 2.9.1 Philosophy

PDSC recognizes the critical nature of the relationship between individual transitions and successful delivery of organizational level improvements and intended outcomes (see [Appendix](#)

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<sup>15</sup> Opportunity Statement from the charter of the State of Oregon's Change Management Professional Network (ChMPN). ChMPN is sponsored by and chartered under the authority of the Department of Administrative Services Chief Human Resources Office and reports to the HR Advisory Committee.

A). PDSC will work with a contracted Change Management Vendor to incorporate this core philosophy within the FCMS project's CM strategy, plans, and actions to ensure the maximum level of support and positive engagement for the project is obtained from impacted individuals.

## 2.9.2 Model

With the support of the contracted Change Management Vendor PDSC will use a three-phase structured CM model:

- **Phase I – Prepare for Change:** Assess scope and impact of the change; develop a scaled strategy and plans.
- **Phase II – Manage Change:** Implement plans for communications, resistance management, and coaching.
- **Phase III – Reinforce Change:** Confirm intended proficiency and utilization are sustainable, intended outcomes and objectives are delivered.

## 2.9.3 Resources

PDSC will procure a Change Management Vendor that utilizes a variety of standard CM resources including:

- **Assessments:** Scope & impact, engagement, support, ability, and sustainability.
- **Plans:** Communications, resistance management, coaching, and reinforcement.
- **Role-Based Information:** Project sponsors, managers, and staff will be provided role-based CM information and tools to equip them to fill their specific CM roles and to enjoy successful personal transitions.

## 2.10 Project Benefits

In April 2022, the Oregon Legislature announced their union with the Governor and Chief Justice to solve the ongoing public defense crisis in Oregon. This partnership has been defined as the three-branch workgroup and will focus on short-term and long-term solutions to reform the state's public defense and public safety systems<sup>16</sup>. Leaders in Oregon have noted the following sentiments as they show their support of change when it relates to the public defense system:

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16. Oregon State Legislature. (2022). Press Release: Legislative Leaders to Join Governor and Chief Justice in Workgroup to Solve Ongoing Public Defense Crisis. Retrieved from: <https://www.oregonlegislature.gov/courtney/Documents/Three-Branch-Public-Defense-Summit-Press-Release.pdf>



*“There’s no denying that Oregon is going through a public defense crisis. The Legislature delivered important relief last session, but there’s more work to be done. We cannot afford any delays in justice.” – Peter Courtney (D-Salem)*

*“For far too long, the scales have been tipped against public defenders, making it difficult to ensure a fair and just public defense system.” – Governor Kate Brown*

*“I am grateful for the three-branch commitment to find long-lasting solutions to the long-standing challenges faced by our criminal justice system and those who work in and are served by it. With the necessary urgency and concerted, sustained effort, I know that we can strengthen that system and make it more just.” – Oregon Supreme Court Chief Justice Martha Walters.*

Although the FCMS project cannot change systemically how public defense operates in Oregon, it is a critical component in providing urgent and valuable information to leaders in the three-branch workgroup and the many stakeholders who are impacted by the effectiveness of public defense. With a robust system such as the FCMS both internal and external users will be afforded with a tool that offers the most current cloud hosted case management solution providing on/offline access to case information/client information/records all with user role-based permissions, data queries/reports, and financial tracking such as submission, payment, and reporting. It is expected that this system will provide the agency with a data repository that can be utilized for data analytics and capable of integrating with data sets from partnering agencies in Oregon and furthering the mission of the three-branch workgroup.

### 2.10.1 Improved Access to Data

Data fields are tracked through a count of the same data elements over time for every case and provider. As a snapshot these data fields do not provide much information however, comparatively tracked over time can tell a story and provide metrics or trends. A configured case management system should be able to provide row and aggregate level data. Aggregate count categories may include statewide, county, judicial district, attorney type, year, or month. Data in an integrated FCMS will provide PDSC the ability to track case activities and outcomes, and a “real time” view of staff/contractor engagement, enhanced transparency, and accountability through data driven, interactive, internal, and external relationships.

### 2.10.2 Fewer Manual Processes

Manual processes are those that require a person to do something before being able to progress forward. PDSC spends a considerable amount of time with manual data entry and contract management. An FCMS will provide significant value through an integration with other systems to enable a streamlined entry process for case and provider information. An automation of fee statements will alleviate the manual processes that currently exist and removes the need for repetitive data entry that has potential for human error. Automated workflows configured within the system will allow for more streamlined business process for PDSC staff and providers.

With the desired goals and outcomes of this project the desire is that the system will afford internal practices to be modernized and external practices to become systematic. Internally, the

system will allow PDSC staff to conduct contractual research and assurance of performance and compliance factors. Currently PDSC staff receive a multitude of reports with varying formats which are inconsistent and lacking critical data that is imperative to understanding Oregon public defense outcomes. Not only are the data reports inconsistent and ineffective, but payment processes are also held up due to the inadequacies of current tools and lack of supporting documentation to meet reimbursement requirements. The new system will afford the agency to internally collect and analyze data in accordance with contractual requirements in a consistent and verifiable manner. This capability will allow the agency's data and research department as well as the newly formed compliance, audit, and performance unit to evaluate and compare outcomes as they relate to public defense. Additionally, the agency's financial department will be able to further support the payment process and evaluation of fee statements within the case support services (CSS) unit.

Externally, the FCMS is expected to bring all contractors to a level playing field by providing a case management system that is robust, proficient, and capable of managing the needs of contracted entities performing public defense work in Oregon. Smaller entities have often struggled to procure a solution that affords their attorneys with tools similar to that of the more metropolitan areas in the state. By ensuring that each entity under contract has a cohesive and robust tool, Oregon's public defense provider community will no longer have to use contract funds to support case management needs as well as spend less time focused on cleaning data to meet monthly reporting requirements. For the first time providers can be more focused on the work attributed to public defense, than on the behind-the-scenes data analytics necessary to analyze imperative outcomes.

### 2.10.3 Reporting

Standardized statewide data collection within the FCMS will offer PDSC the ability to provide consistent reports to stakeholders and allow for audit compliance with mandatory statute and constitutional requirements. A centralized and integrated system will be able to produce financial and case metrics for contract administration.

Implementation of an integrated FCMS increases efficiencies through the ability to share information and accelerates the administrative processes so staff can access complete contractor and caseload information at crucial decision points. (See Goals and Outcomes [Appendix A.](#))

## 3. Conclusion and Recommendation

### 3.1 Conclusion and Recommendation

With regard to Oregon's public defense system, PDSC has compiled analyses, recommendations from field experts and requested action from public service representatives to assist with agency direction. When looking to resolutions there are many factors to consider, however a financial and case management tool is a critical place to start. As noted above there

are three options in which the agency can consider; status quo, COTS, and best of breed. Each of these options have costs, risks, and benefits attributed to their resolution, however, with a COTS solution would offer the least disruptive and most financially viable resolution.

New technology and business processes which follow a COTS solution will enable PDSC to achieve its goals and outcomes (see [Appendix A](#)). The Financial and Case Management Project, when fully implemented, will enhance the way PDSC operates and will allow for effective and timely data collection. Impactful reports can be produced and provided to the Legislature, providers, and the public, and will be a more efficient resource for Administrative Services Division (ASD) to monitor and audit all provider/attorney contracts. Reporting and case management will follow a more clearly defined and accurate processes, and improvement can be made on reimbursement of provider/attorney fees.

After review of the benefits and limitations of the alternatives, forecast of ongoing budgetary constraints, projection of an increase in employee costs, fragility of the current tools, and potential for significant increase in caseloads over the next decade, the project governance committees unanimously decided to discard the Status Quo option.

Project Governance has determined the COTS / Single-Solution Provider approach (internally or externally hosted) will meet the majority of PDSC needs and fulfill recommendations from many informative resources. In view of other state's activities, it appears this can be accomplished more quickly and for less cost than a custom build. A COTS solution is developed and vetted by a vendor and often other clients benefit from the same solution. This is an invaluable resource as project timelines, cost, and risk are considered. The nature of the solution provides a simpler way to show progress and show stakeholders what the future has in-store. This should positively influence stakeholder perceptions and support the need for change in Oregon's public defense services.

The FCMS project must be considered a necessary investment for PDSC, its partners, stakeholders, and the vulnerable populations of Oregon. The costs associated are moderate, however, the value provided through improved data collection and consolidation of public defense services information will create a strong foundation in which a competent public defense system can be built. The project will be carefully monitored and managed, reviewed for risks and issues, and in constant communication with stakeholders throughout the life of the project implementation.

Ultimately, the successful implementation of the Financial and Case Management Project will improve the ability to track outcomes related to public defense, provide data to monitor standards, increase access to data for internal staff, providers, attorneys and the newly formed CAP Division.

## APPENDIX A: Financial/Case Management System Goals & Outcomes

The integrated Financial and Case Management System (System) will store data for use in quantitative analysis and evaluation. The System will not provide client satisfaction or environmental analysis of service delivery.

The Goals and Outcomes are tools to help quantify processes for quality improvement, transparency, and reporting of Oregon’s public defense services. The Outputs are data fields contained in the System that provide indicators (objectives) that can be measured to track progress towards the identified Outcomes. Through statistical analysis, the Outcomes are expected to result in the Impact, when combined with qualitative analysis (subjective) creates a viable path to measure the Goal.

**Goal:** An internal and external accessible system that collects and manages data to support accountability and transparency.

**Impact:** Ability to produce “real-time” performance dashboards for PDSC and providers.

**Outcome:** “Real-time” informative dashboards provide both PDSC and providers the opportunity to compare performance to required outcomes (transparency and oversight).

**Output:** For example, # of cases, cases per contract/provider, case cost, payment request status, case outcomes, case events.

**Goal:** Provide case cost accountability to Oregon’s taxpayers.

**Impact:** Ability to produce detailed case cost reports.

**Outcome:** Taxpayer dollars allocated to PDSC for public defense will be used efficiently and effectively to monitor quality representation of contracted providers.

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**Output:** For example, # cases served by each contract, cost per case by type of case, % or # of cases resulting in failure to appear.

**Goal:** Enhanced ability to manage the requests for case support services (CSS).

**Impact:** Manage and audit CSS requests.

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**Outcome:** Monitor and audit the number of CSS per case and provider to reduce duplication of requests/payments and track activity.

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**Output:** For example, # of requests per case type, outcomes of cases with requested services, type of CSS requested, track number of times specific providers request categories of services.

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**Impact:** Ability to manage and configure changes to PDSC approved rates for routine and CSS.

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**Outcome:** PDSC approved rate changes will be made within system by authorized users.

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**Output:** For example, provider rate, mitigator rate, user who made changes to rate, date changes were made.

**Goal:** Timely payments to providers through improved payment process.

**Impact:** Deliver payments to providers per the Oregon Accounting Manual (OAM) processing timelines.

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**Outcome:** Ability to audit to ensure compliance with OAM (i.e., Prompt Payment Section 116).

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**Output:** For example, case number, provider contact information, county, case type, supporting documents (receipts, statements etc.), payment number (warrant).

**Goal:** Ability to monitor caseload assignments per attorney.

**Impact:** Monitor caseload limitations for attorneys based on best practice standards which provide a maximum number of cases an attorney can ethically handle at one time.

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**Outcome:** Providers do not regularly exceed caseloads prescribed by the best practice standards.

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**Output:** For example, weighted number of cases served by provider by case type, % of time provider allocates to public defense.

**Goal:** Ability to report on the impact of public defense services through detailed data of attorney activity with assigned client.

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**Impact:** Analysis of case cost and case management outcomes through (improved) reporting.

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**Outcome:** Ability to report on the case cost and time spent per attorney and the associated case outcomes.

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**Output:** For example, case type, % of time spent on case, case outcome results, case financial information, case ageing, attorney information (name, bar number), case events (filings made with the court), any professional resource requested (case manager, investigator, expert witness, etc.)

**Goal:** Ability to report on caseloads, client interaction, case prep work, court appearances, and case related meetings per the Parent Child Representation Program (PCRP) general recommendations.<sup>17</sup>

**Impact:** Monitor adherence to PCRP recommendations.

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**Outcome:** Provide data to evaluate operational expectations of the PCRP.

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**Output:** For example, % of interaction time with client, % of case prep work, % of time in court appearances.

**Goal:** Reduction in manual data entry of client/case information.

**Impact:** Increase data accuracy through integrations with partner agencies and providers.

---

**Outcome:** Collect data electronically with the support of required data fields to produce uniform reporting.

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**Output:** For example, client information (name, date of birth, address, demographics, criminal history, social security number), case events, charges, attorney information (name, bar#), child placement information, case outcomes, payment number (warrant)).

**Goal:** Collect data on client race, gender identity, ethnicity, and economic disparities to provide data that can be used to analyze how those factors affect case outcomes.

**Impact:** Monitor and identify how public defense services address racial, gender identity, ethnic, or economic disparities as they relate to services provided.

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**Outcome:** Ability to collect and measure racial, ethnic, and gender identity.

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**Outcome:** Ability to collect and measure income and economic disparities.

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<sup>17</sup> Public Defense Services Commission. (2020, July1). Request for Proposals for Parent Child Representation Program Contracts. Salem, Oregon. Retrieved from [\[https://www.oregon.gov/opds/provider/Pages/pcrp.aspx\]](https://www.oregon.gov/opds/provider/Pages/pcrp.aspx).

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**Output:** For example, # cases by race, gender, income, ethnicity, and English as a second language for signs of disparity, # of clients who require access to an interpreter for court appearances (in person or remotely), clients released on bail.

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Other configurable gains from the new F/CMS will include:

- The ability to take advantage of new and improved functions and processes added to the product by the vendor.
- Ability to configure the system and report on additional data elements related to changes in legislative or organizational requirements.
- Improved performance and supportability provided by an integrated COTS system.
- Standardized processes that flow through the various work units afforded from a single system.

# APPENDIX B: Alternatives Analysis – Cost Assumptions

## COTS / Single-Solution Provider Solution

Item	July 2023- June 2024	July 2025- June 2025	Biennium 2023/25	July 2025- June 2026	July 2026- June 2027	Biennium 2025/27	TOTAL
Core Case Management System (CMS) – Vendor	\$504,000.00	\$504,000.00	\$1,008,000.00	\$504,000.00	\$504,000.00	\$1,008,000.00	\$2,016,000.00
Implementation	\$75,000.00	\$75,000.00	\$150,000.00	\$20,000.00	\$10,000.00	\$30,000.00	\$180,000.00
Data Migration	\$50,000.00	\$50,000.00	\$100,000.00	\$10,000.00	\$10,000.00	\$20,000.00	\$120,000.00
Hosting & Support	\$50,000.00	\$50,000.00	\$100,000.00	\$50,000.00	\$50,000.00	\$100,000.00	\$200,000.00
Project Management Vendor	\$151,937.50	151,937.50	\$303,875.00	151,937.50	151,937.50	\$303,875.00	\$607,750.00
System Architecture	\$321,550.00	\$321,550.00	\$643,100.00	-	-	-	\$643,100.00
Report Management Configuration/Customization – Vendor							
RSTARS	\$155,325.00	\$155,325.00	\$310,650.00	-	-	-	310,650.00
Network Infrastructure	\$68,150.00	\$68,150.00	\$136,300.00	-	-	-	\$136,300.00
Possible Integration Work	\$272,500.00	\$272,500.00	\$545,000.00	\$40,000.00	\$15,000.00	\$55,000.00	\$600,000.00
OPDS Hardware (New Requirements/Lifecycle)	\$50,000.00	\$50,000.00	\$100,000.00	\$50,000.00	\$50,000.00	\$100,000.00	\$200,000.00
QA Vendor	\$375,000.00	\$375,000.00	\$750,000.00	\$50,000.00	\$25,000.00	\$75,000.00	\$825,000.00
Technical Team – OPDS (2-OPA 3/1-ITS 4)	\$466,687.00	\$466,687.00	\$933,374.00	\$466,687.00	\$466,687.00	\$933,374.00	\$1,866,748.00
Training – Vendor/OPDS	\$200,000.00	\$200,000.00	\$400,000.00	\$30,000.00	\$10,000.00	\$40,000.00	\$440,000.00
Travel – Vendor/OPDS	\$50,000.00	\$50,000.00	\$100,000.00	\$5,000.00	\$5,000.00	\$10,000.00	\$110,000.00
Overhead - \$30k/year	\$30,000.00	\$30,000.00	\$60,000.00	\$30,000.00	\$30,000.00	\$60,000.00	\$120,000.00
Change Management Vendor (Project and Organization)	\$200,000.00	\$200,000.00	\$400,000.00	\$200,000.00	\$200,000.00	\$400,000.00	\$800,000.00
<b>Total All Funds</b>	<b>\$3,020,149.50</b>	<b>\$3,020,149.50</b>	<b>\$6,040,299.00</b>	<b>\$1,607,624.50</b>	<b>\$1,527,624.50</b>	<b>\$3,135,249.00</b>	<b>\$9,175,548.00</b>
<i>Contingency – 10% of project costs</i>			<i>\$604,029.90</i>			<i>\$313,524.90</i>	
<i>Total Funds with Contingency</i>			<i>\$6,644,328.90</i>			<i>\$3,448,773.90</i>	<i>\$10,093,102.80</i>



# Best of Breed / Custom Build Solution – Separate Financial / Case Management

Item	July 2023- June 2024	July 2025- June 2025	Biennium 2023/25	July 2025- June 2026	July 2026- June 2027	Biennium 2025/27	<b>TOTAL</b>
Core Case Management System (CMS) – Vendor	\$825,000.00	\$825,000.00	\$1,650,000.00	\$825,000.00	\$825,000.00	\$1,650,000.00	\$3,300,000.00
Implementation	\$75,000.00	\$75,000.00	\$150,000.00	\$20,000.00	\$10,000.00	\$30,000.00	\$180,000.00
Data Migration	\$50,000.00	\$50,000.00	\$100,000.00	\$10,000.00	\$10,000.00	\$20,000.00	\$120,000.00
Hosting & Support	\$55,000.00	\$55,000.00	\$110,000.00	\$70,000.00	\$40,000.00	\$110,000.00	\$220,000.00
Customization	\$87,500.00	\$87,500.00	\$175,000.00				\$175,000.00
Project Management Vendor	\$151,937.50	151,937.50	\$303,875.00	151,937.50	151,937.50	\$303,875.00	\$607,750.00
System Architecture	\$321,550.00	\$321,550.00	\$643,100.00	-	-	-	\$643,100.00
Report Management Configuration/Customization – Vendor							
RSTARS	\$155,325.00	\$155,325.00	\$310,650.00	-	-	-	310,650.00
Network Infrastructure	\$68,150.00	\$68,150.00	\$136,300.00	-	-	-	\$136,300.00
Possible Integration Work	\$272,500.00	\$272,500.00	\$545,000.00	\$45,000.00	\$10,000.00	\$55,000.00	\$600,000.00
OPDS Hardware (New Requirements/Lifecycle)	\$50,000.00	\$50,000.00	\$100,000.00	\$50,000.00	\$50,000.00	\$100,000.00	\$200,000.00
QA Vendor	\$375,000.00	\$375,000.00	\$750,000.00	\$50,000.00	\$25,000.00	\$75,000.00	\$825,000.00
Technical Team – OPDS (2-OPA 3/1-ITS 4)	\$466,687.00	\$466,687.00	\$933,374.00	\$466,687.00	\$466,687.00	\$933,374.00	\$1,866,748.00
Training – Vendor/OPDS	\$200,000.00	\$200,000.00	\$400,000.00	\$30,000.00	\$10,000.00	\$40,000.00	\$440,000.00
Travel – Vendor/OPDS	\$50,000.00	\$50,000.00	\$100,000.00	\$5,000.00	\$5,000.00	\$10,000.00	\$110,000.00
Overhead - \$30k/year	\$30,000.00	\$30,000.00	\$60,000.00	\$30,000.00	\$30,000.00	\$60,000.00	\$120,000.00
Change Management Vendor (Project and Organization)	\$200,000.00	\$200,000.00	\$400,000.00	\$200,000.00	\$200,000.00	\$400,000.00	\$800,000.00
Total All Funds	\$3,433,649.50	\$3,433,649.50	\$6,867,299.00	\$2,043,624.50	\$1,743,624.50	\$3,787,249.00	\$10,654,548.00
<i>Contingency – 10% of project costs</i>			\$686,729.90			\$378,724.90	
<i>Total Funds with Contingency</i>			\$7,557,028.90			\$4,165,973.90	\$11,720,002.80

# APPENDIX C: Risk Management Plan

## Project Risks, Mitigation Strategies, and Contingency Plans

Risk	Description	Rating	Mitigation Strategy	Contingency Plan
<p>1. Capability of PDSC to manage a project of this size and complexity.</p>	<p>The FCMS project will require a significant amount of project management resources, both at the project and implementation level. PDSC currently does not employ personnel directly supporting project management work.</p>	<p><b>L</b></p>	<ul style="list-style-type: none"> <li>• PDSC will appoint or hire a project manager/team with experience in identification, development, management, and deployment of projects of this size, scope, and complexity.</li> <li>• PDSC will appoint or hire an experienced project manager with overall authority and responsibility to manage and direct the project.</li> <li>• Outsource various implementation activities to contracted vendors.</li> <li>• PDSC has identified a robust governance structure to support the project.</li> </ul>	<ul style="list-style-type: none"> <li>○ Appoint or Hire Project Manager with Oregon Project Management Certification, or PMP. Extend implementation timelines.</li> <li>○ Reduce the number of concurrent efforts.</li> </ul>

Risk	Description	Rating	Mitigation Strategy	Contingency Plan
2. Funding cut or severe funding reduction during project implementation results in incomplete project.	With smaller scale, shorter-term projects, there is the possibility that funding may be reduced before the project is fully implemented. This is even more likely during periods of declining General Fund resources.	<b>H</b>	<ul style="list-style-type: none"> <li>• Keep frequent communication with the Legislative Fiscal Office (LFO) to ensure that the decision makers have the necessary information and justification to continue funding the project.</li> </ul>	<ul style="list-style-type: none"> <li>○ Re-scope affected project areas.</li> <li>○ Delay the overall implementation schedule to correspond to new level of funding.</li> <li>○ Prioritize internal OPDS operations versus statewide deployment.</li> </ul>
3. PDSC divisions are unable to participate as Subject Matter Experts (SMEs) in business process standardization due to budget reductions.	The State of Oregon is facing an unprecedented budget crisis. If PDSC faces budget cuts that significantly reduce staff resources identification of business processes, configuration of the system, and deployment activities may be limited.	<b>M</b>	<ul style="list-style-type: none"> <li>• Identify fewer core staff needed to implement basic system(s).</li> </ul>	<ul style="list-style-type: none"> <li>○ Slow down project timeline until SMEs became available.</li> <li>○ Implement basic functionality and sectionalize configuration / deployment as resources become available.</li> </ul>
4. Procurement is delayed.	Vendors have expressed interest in providing services and products for OPDS. COVID-19 may slow vendor responses / resources.	<b>M</b>	<ul style="list-style-type: none"> <li>• Ensure detailed adherence to the approved procurement process.</li> </ul>	<ul style="list-style-type: none"> <li>○ Adjust project timeline as appropriate.</li> </ul>

Risk	Description	Rating	Mitigation Strategy	Contingency Plan
5. Lack of clear internal vision creates competing priorities.	PDSC has a project vision statement driven by the PDSC Strategic Plan however the economic situation may create competing priorities.	<b>M</b>	<ul style="list-style-type: none"> <li>• Ensure that governance and PDSC executive leadership clearly communicate internally and externally the importance of the project.</li> </ul>	<ul style="list-style-type: none"> <li>○ Rarticulate strategy to all internal and external stakeholders to clarify expectations.</li> </ul>
6. Unclear internal roles and responsibilities delay project activities.	A project of this size requires clear delineation of roles and responsibilities. It is critical that these factors be addressed by PDSC in order to ensure that decisions are made in a timely manner and with full information.	<b>M</b>	<ul style="list-style-type: none"> <li>• Implement a comprehensive governance model with clear roles and responsibilities.</li> <li>• Acquire external quality assurance oversight to monitor issues in this area.</li> <li>• Identify experienced Project Manager.</li> </ul>	<ul style="list-style-type: none"> <li>○ Rarticulate internal roles and responsibilities to clear up confusion.</li> <li>○ Identify additional resources if needed.</li> </ul>
7. Lack of communication between PDSC, internal stakeholders, project team, and external project stakeholders, leads to diversions from original goals and outcomes of the project.	It is critical that lines of communication are maintained between stakeholders, governance, and the project team. Without such communication structures in place, there is a high possibility the project will diverge from the identified goals and outcomes.	<b>M</b>	<ul style="list-style-type: none"> <li>• The project manager will be responsible to ensure clear and concise communication occurs on project status, scope, schedule, and budget to internal and external stakeholders and governance.</li> <li>• Rely on the SSP to clearly identify an implementation path.</li> </ul>	<ul style="list-style-type: none"> <li>○ Bring leadership team together to review enhanced communication as necessary.</li> <li>○ Bring project team together to review messages that conflict and clarify for understanding.</li> <li>○ Publish the solution and distribute to all impacted by project.</li> </ul>

Risk	Description	Rating	Mitigation Strategy	Contingency Plan
8. Vendor lacks clear understanding of project goals and objectives even with clear requirements.	If the vendor selected for the FCMS does not possess adequate familiarity with the PDSC goals and objectives of the project, there exists the possibility that the vendor may not be capable of meeting stakeholder needs or project requirements.	<b>M</b>	<ul style="list-style-type: none"> <li>• Ensure that the vendor understands the business of PDSC and its internal and external interactions.</li> <li>• Clearly articulate the operational needs of the system desired. Hold pre-bid conference to clarify understanding.</li> </ul>	<ul style="list-style-type: none"> <li>○ Meet with the vendor on a regular basis to reiterate goals and objectives of the project and clarify for understanding.</li> </ul>
9. Decisions are not made in time to keep pace with project activities.	Decision-making structures that do not support rapid progress and collaboration between multiple lines of effort will cause delays.	<b>M</b>	<ul style="list-style-type: none"> <li>• The project team and vendor will meet weekly to provide recommendations to governance to allow timely decision making.</li> </ul>	<ul style="list-style-type: none"> <li>○ Decision log is forwarded to Executive Sponsors for approval.</li> </ul>
10. Legacy technology failure requires a shift in priorities.	If any major component of the current PDSC technology environment fails, the priority will most likely shift from development / configuration / deployment of the FCMS system to an immediate fix of the legacy system(s).	<b>H</b>	<ul style="list-style-type: none"> <li>• Retain a separate support staff skilled in legacy technology.</li> <li>• Minimize changes to legacy tools.</li> </ul>	<ul style="list-style-type: none"> <li>○ Re-scope affected areas.</li> <li>○ Extend implementation timelines.</li> <li>○</li> </ul>

Risk	Description	Rating	Mitigation Strategy	Contingency Plan
11. Inadequate infrastructure capacity.	If this infrastructure does not have the capacity, performance, or manageability to support financial management, case management, and internal and external access the objectives of the project cannot be realized.	L	<ul style="list-style-type: none"> <li>• Engage network administrators and vendor consultants to perform a needs assessment during early project phases.</li> <li>• Contract with vendor to provide adequate, redundant bandwidth.</li> <li>• Assess whether the needs of high-availability business requirements necessitate upgrades to network or power failover systems. If so, make the appropriate recommendations.</li> </ul>	<ul style="list-style-type: none"> <li>○ Have a second technical provider available if needed to facilitate technical infrastructure improvements.</li> </ul>
12. "Vision fade".	Losing sight or connection to the PDSC project vision.	L	<ul style="list-style-type: none"> <li>• Ensure vision is clearly stated in all presentations and foundational documents for the project; ensure that the vision drives tactics, strategy, and implementation in all phases.</li> </ul>	<ul style="list-style-type: none"> <li>○ Memo from the Executive Director to re-emphasize vision and goals of the project.</li> <li>○ Project presentations to all internal / external stakeholders.</li> </ul>
13. Data Migration.	PDSC data tools / data elements are not organized in a way to facilitate data migration.	M	<ul style="list-style-type: none"> <li>• Work with vendor to identify appropriate data elements to migrate.</li> <li>• Identify elements that may need to be migrated as text fields.</li> <li>• Identify long term storage of current data that is compatible with new system.</li> </ul>	<ul style="list-style-type: none"> <li>○ Work with OPDS stakeholders to cleanse data prior to data migration.</li> </ul>

Risk	Description	Rating	Mitigation Strategy	Contingency Plan
14. Business Process Transition.	This project will replace the current tools used for data management and identify new business processes.	<b>H</b>	<ul style="list-style-type: none"> <li>• PDSC leadership to continue to empathize goals and objectives.</li> <li>• Identify SMEs to guide configuration and identification of new business processes.</li> <li>• Ensure identified outcomes are met by vendor.</li> <li>• Extensive training provided to internal and external stakeholders.</li> <li>• Extensive business processes documentation.</li> </ul>	<ul style="list-style-type: none"> <li>○ Provide additional training as needed.</li> <li>○ Enhance change management process as needed.</li> <li>○ OPDS leadership to identify expectations.</li> </ul>
15. Scope Creep.	This project will significantly change the technical infrastructure and impact many PDSC business processes. There is the potential of “scope creep” due to the extensive nature of the project and timeline.	<b>M</b>	<ul style="list-style-type: none"> <li>• PDSC leadership to continue to empathize goals and objectives.</li> <li>• Ensure identified outcomes are met by vendor.</li> <li>• Project Manager to ensure that goals and objectives are clearly stated and met.</li> <li>• Extensive business processes documentation.</li> <li>• Robust change management processes to identify issues that need to be addressed and those that do not.</li> </ul>	<ul style="list-style-type: none"> <li>○ PDSC leadership to identify expectations.</li> <li>○ Memo from the Executive Director to reemphasize project vision and goals.</li> <li>○ Ensure vendor understands PDSC goals and objectives.</li> </ul>

## APPENDIX D: High-Level Requirements

Number	Category	Requirement
1	Role of Party	Parent / Guardian / Child / Attorney
2	Client Information	First Name Last Name SSN* DOB Criminal History* Primary Language Child Placement
3	Client Demographics*	Ethnicity* Race* Gender Identity* Income*
4	Case Information	County Case Name* Case Number Case Open Date* Case Outcomes* Case Type* Case per Contract/Provider* Case Events* Hearing Dates* Incident Date* Information about Mitigating Factors* Outcomes of Cases with Requested Services* Services* Supporting Documents*
5	Activity	Activity Date Activity Outcome*
6	Charge Information	Charge* Charge Class* Initial Charge* Final Charge* Information about Alternative Sentencing* ORS Charges/OPDS Case Types* Judgment Dates* Ruling*

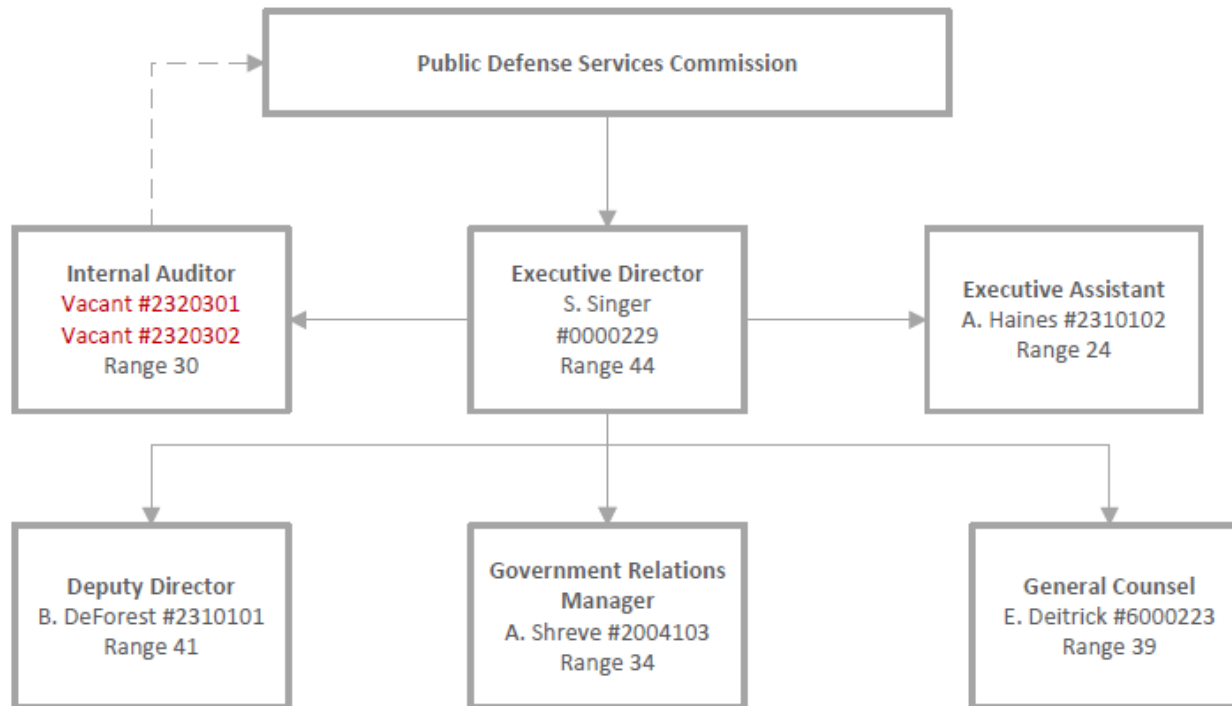


7	Attorney/Provider Information	First Name Last Name Bar Number ID Date Appointed or Retained/Assigned* Appointment or Retained Type Hourly Rate Hours Spent with Client*
8	Service Providers	Investigator Used Case Manager Used Psychologist Used Interpreters Used Transcriber Used
9	Attorney Case Information*	Number of Cases Served by Each Contract* Number of Clients Who Require an Interpreter* Number of Requests Per Case Type* Percent of Case Prep Work* Percent of Time in Court Appearances* Percent of Time Provider Allocates to Public Defense* Percent or Number of Cases Resulting in FTA* Track Number of Times Specific Providers Request Categories of Services* Weighted Number of Cases Served by Provider by Case Type*
10	Billing Information	Authorization Number Authorized By Amount Requested* Amount Approved Payment Number Payment Request Status Case Cost Case Financial Information* Cost per Case by Case Type*

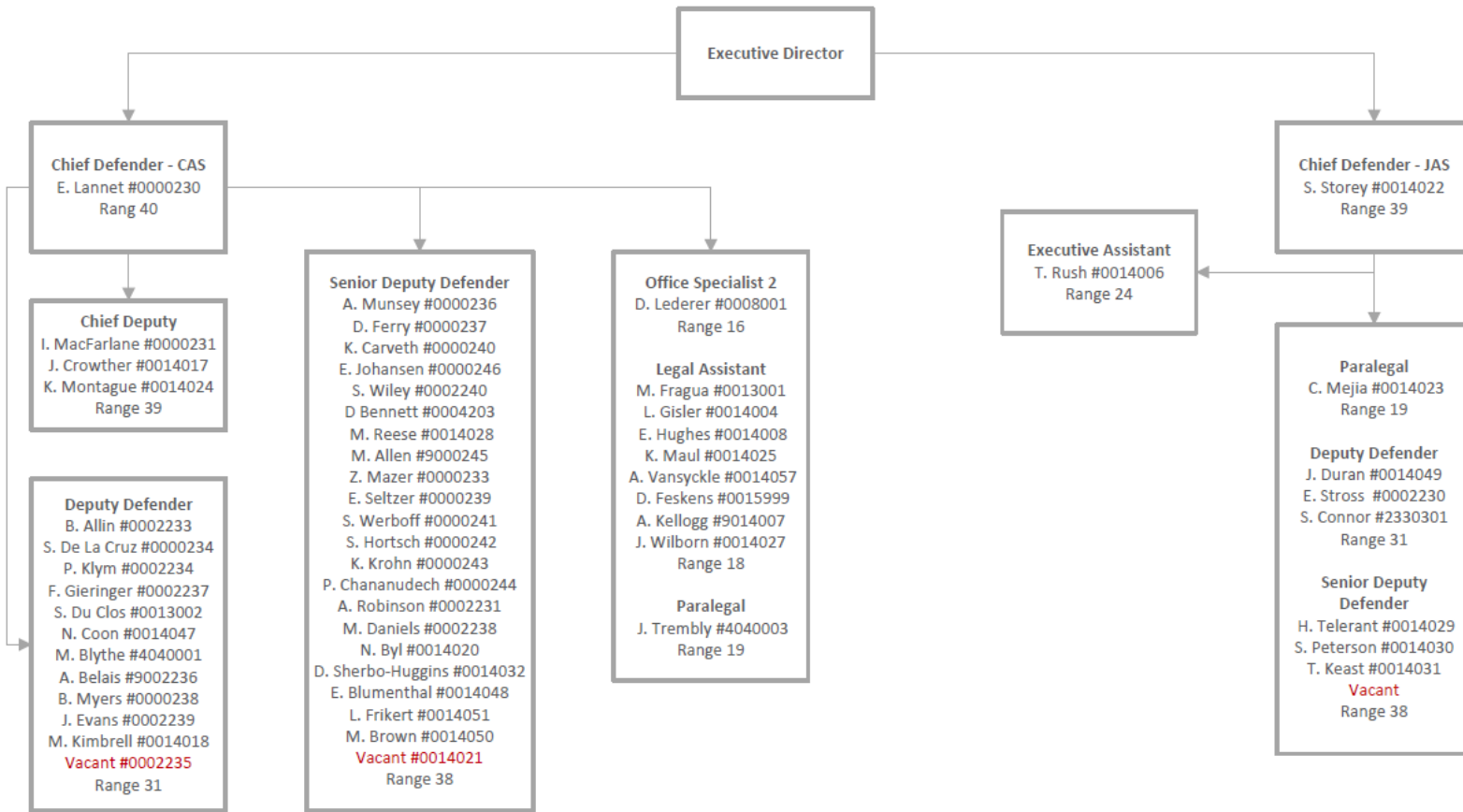
Note: These high-level solution requirements were used as criteria for Section 3, *Alternative Analysis*. Data currently collected by OPDS exists in disparate financial and case management tools. Requirements denoted with an asterisk (\*) indicate data and capabilities that OPDS does not currently receive or is able to create. This is not a comprehensive list of procurement ready solution requirements. If the project is approved by LFO, a complete requirements gathering process will occur.

# APPENDIX E: Organizational Divisions

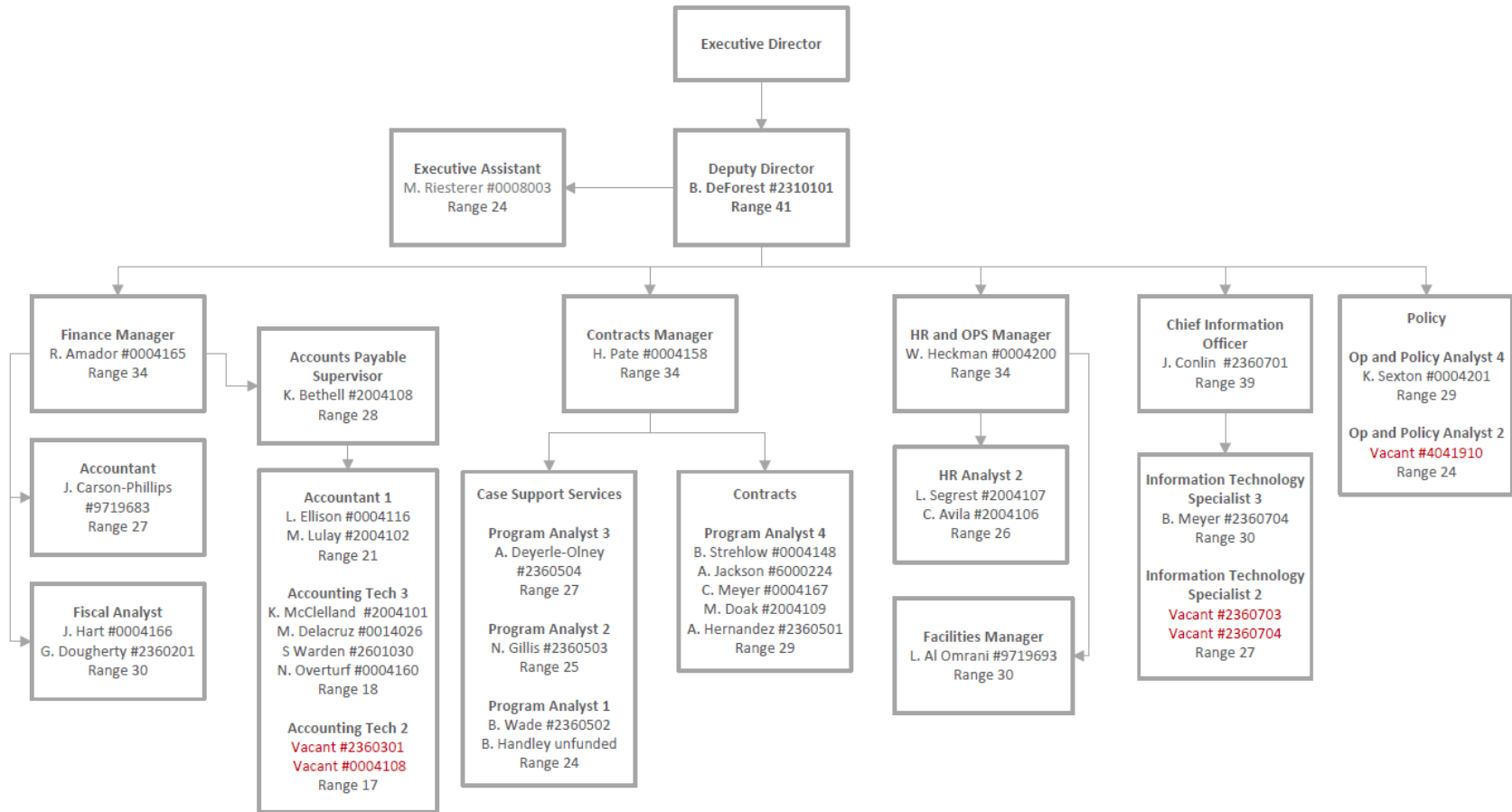
## Executive Services Division



# Appellate Services Division



# Administrative Services Division



# Compliance, Audit, and Performance Division

