



OREGON OFFICE OF
**Public
Defense
Services**

PDSC Financial and Case Management System

Project Scope Version 3.0

Authorized Signatures

Signature Authorization

PROPOSAL NAME AND DOCUMENT VERSION #	OPDS Financial and Case Management System Project Scope Document v. 2.0		
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DIVISION	Office of Public Defense Services		
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The signatures in this section attest to a review and approval of the scope as proposed.

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Document Information

0.1 Document Purpose

This document describes the overall project scope and what is to be considered imperative for successful implementation of the Financial and Case Management System (FCMS) project.

0.2 Revision History

Version	Date	Author	Description/Changes
0.1	07/15/2020	Team Draft	Initial Draft
0.2	07/24/2020	B. Baehr	Edits; Comments
0.3	07/27/2020	Team Review	Formatted; Edits
1.0	08/31/2020	Governance and Steering Approval	Final Document
1.1	6/27/2022	Team Review	Document Refresh
1.2		Peer Review	Edits; Comments
2.0		Governance and Steering Approval	Final Document
2.1	7/13/2022	K. Styles	Edits
3.0	8/15/2022		Final Draft

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Executive Summary

Over the last decade 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 also 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) 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). The purpose of this document is to define the overall project scope and how it not only aligns with the agency's strategic goals of providing effective counsel and program oversight, but also the overall strategic alignment to Oregon public safety.

1.1 Background

PDSC, like many public defense agencies around the country, is facing extreme and unfavorable outcomes when it comes to providing public defense. 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 structure, 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 information¹.

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

¹ The American Bar Association.; 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

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.²

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 with defense providers or data share agreements with partner agencies. These data sources are not always consistent and often do not offer accurate or reliable data elements.

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,³ 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 Manual⁴ 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 Problem Statement

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

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

³ 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*.

⁴ 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>.

Division (ASD) administered contracts for public defense services as well as the payment and reimbursement of non-routine expenses (NREs). 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 X, PDSC Organizational Chart**) which now include Executive, Appellate, Administrative Services Division (ASD), and Compliance, Audit and Performance (CAP).

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 lack of integrated tools makes PDSC unable to track, monitor, or analyze contract data or reimbursements in an effective or efficient manner.

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 services⁵. 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.

1.3 Strategic Alignment

PDSC is delegated by their statutory responsibilities, vision, mission, values, policies, and standards. Additionally, the commission values to a high regard legislative advocacy, and embraces standards of service from all OPDS staff. The commission has set forth goals and strategies in which they believe best meet those responsibilities while ensuring Oregon public defense is only positively impacted⁶.

Both past and present, public defense continues to be a system that requires sensitivity and direction. Oregon is not alone in their efforts to understand and make positive changes for those who interact with both sides of the system. The commission has continuously heard from the community members that are impacted by public defense practices, and with that are in alignment with modernization efforts throughout the agency. Of those efforts, the FCMS project is believed to afford the agency for the first time with a tool that addresses, provider and attorney case management needs, client representation tools and outcome measures, as well as a payment system to ensure timely distribution of funds. The system aligns with the technical goals and

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

⁶ 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>.

strategies of the commission as well as the service capabilities it will afford to all actors in public defense.

1.4 Business Impact

The impact expected for PDSC to implement the FCMS project is high, however, the risk of doing nothing carries a much greater impact; one that would have negative consequences. PDSC will be expected to conduct a thorough analysis of business and technical requirements; system configuration in conjunction with what is required under Oregon law; business processes; data collection practices; data share agreements; thorough testing of the new system will be completed to ensure it meets the acceptance criteria and integration needs between other public safety systems; and operationally, the new system will require the development of new business processes. To ensure a successful system implementation and transition of business processes, change management and significant training will be a critical tool to circumvent potential resistance to change.

1.5 Project Objectives

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
 - 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).

- Legal work performed outside of contract
- 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.

FCMS Project Scope

2.1 Project Scope

Project Scope serves as baseline definition of scope for the F/CMS Project. All project work should occur within the framework of the project scope and directly support the project outcomes. The Project Scope in conjunction with the business case defines the following:

- Scope Description
- High-Level Project Requirements
- Project Strategy
- Project Constraints
- Project Assumptions

Any changes to Scope must be approved by the project governance committee. The completion date for this project is July 1, 2023.

2.2 Scope Description

2.2.1 In-Scope

- Procure a new integrated financial and case management system (F/CMS).
- Procure associated hardware to support F/CMS.
- System able to ingest large amounts of external data.

- Data share agreement with Oregon Judicial Department (OJD).
- Data share with Department of Administrative Services (DAS) R*STARS system for vendor payments.
- Change management (i.e., communication; prepare for, manage, reinforce change).
- Project management for F/CMS.
- F/CMS business processes documentation (i.e., “as is”; “to be”).
- Data migration for data elements in the F/CMS (OPDS/Provider as applicable).
- Document, audio, and video management and storage for case discovery / court exhibits (i.e., short term / long term storage dynamics to be determined through course of project).
- End user training of the F/CMS for OPDS and Providers.
- External quality assurance engagement.
- Robust internal / external project communication.
- Regular project reports to LFO.
- Maintain current technical tools (i.e., databases; spreadsheets) with limited or no changes until F/CMS becomes operational.
- Configuration management process.
- Engaged governance structure (i.e., steering committee; executive sponsors).
- F/CMS will be assessable to authorized internal and external users.
- F/CMS stakeholder engagement.
- Internal email / instant messages for communications within F/CMS.
- Integration with Microsoft communication systems and F/CMS.

2.2.2 Out-of-Scope

- Ability to electronically file circuit or appellate court documents directly from F/CMS.
- Ability for OPDS to maintain a vendor or migrate to an employment relationship when there is a provision of indigent defense.
- System generated budget projections, payroll management, supply procurement, personnel management, and payments.
- F/CMS system will not analyze outcomes of collected data.
- Non-F/CMS related stakeholder engagement.
- Preparation and/or presentation of legislative concepts not related to F/CMS.
- Policy related provisions of public defense services.
- Definition of case management standards.
- Development and negotiation of new contracts with providers.
- Identification of contract rates for providers.
- Management of the legal contractual dynamic between OPDS and vendors.
- System determination of attorney qualifications on case assignments.
- Client satisfaction of legal representation.
- F/CMS system based on artificial intelligence (e.g., F/CMS system will not be able to determine whether a person received adequate representation).
- A completely automated vendor payment system.

- New or redesigned office spaces, office furniture, and facilities.
- New hardware / software not directly related to new F/CMS.
- Other projects not directly related to the procurement, configuration, and deployment of a new F/CMS system.

2.3 Assumptions and Constraints

2.3.1 Assumptions

All stakeholders must be mindful of the assumptions identified for the F/CMS Project as they introduce some level of risk to the project until they are confirmed to be true. While the project is in a planning cycle, every effort must be made to identify and mitigate any risks associated with these assumptions:

- F/CMS is the official system for OPDS staff and contracted providers.
- Sufficient staff from OPDS, and the selected vendor are available to fully support the F/CMS project.
- Decisions are made in a timely manner by the Executive Leadership Team.
- Project Team has the authority to approve deliverables for the project.
- Technology complies with information security standards adopted by OPDS.
- Operational Leadership Team will assist in review of formal project documentation.
- OPDS, and the selected vendor assist in coordination of interface testing efforts with stakeholders.
- OPDS, and Steering Committee participate in F/CMS User Acceptance Testing.
- OPDS team members respond promptly to F/CMS correspondence requests; participate in F/CMS training; and actively engage in Go-Live activities.
- Steering Committee respond promptly to F/CMS correspondence requests; participate in F/CMS training; and engage in Go-Live activities.
- Oregon Legislature funds the project.

2.3.2 Constraints

It is imperative that considerations be made for the identified constraints of the F/CMS Project throughout the project's lifecycle. Stakeholders must remain mindful of these constraints to prevent any adverse impacts to the project's schedule, cost, or scope. The following constraints have been identified:

- Current technical tools must be maintained until a system is in place for financial management, contract administration, and case data tracking.
- Staffing availability of OPDS.
- COVID impacts are dynamic and will have to be included in any discussion on capabilities, constraints, and timelines.

Project Organization

3.1 Project Team Structure

3.1.1 Governance Committee

Name	Title	Business Unit
Brian Deforest	OPDS Deputy Director	Office of Public Defense Services
Ralph Amador	OPDS Budget Manager	Office of Public Defense Services
Eric Deitrick	OPDS General Counsel	Office of Public Defense Services
Wendy Heckman	OPDS Human Resources Manager	Office of Public Defense Services
Jim Conlin	OPDS CIO	Office of Public Defense Services

3.1.2 Project Team, Members, Roles, and Responsibilities

Role	Member(s)	Responsibility
Operational Leadership	Brian Deforest	<p>Overall accountability for the success of the FCMS Project.</p> <p>Works with the Executive Leadership Team to remove obstacles and barriers and ensure successful implementation of project.</p> <p>Monitor and approve project deliverables.</p> <p>Provide updates to stakeholders.</p>
Project Team	Brandi Meyer Krystal Styles	<p>Develop timelines and work breakdown structure.</p> <p>Run the project on a day-to-day basis.</p> <p>Deliver project objectives on time.</p> <p>Assist vendor with development and execution of training plan and schedule.</p>
Integration	TBD	Develop, test, and implement integration from OJD's systems to FCMS.
Business Analyst(s)	TBD	<p>Convert business processes into work instructions, conduct legal research, validate business processes, and assist with training activities.</p> <p>Document business processes, update online help when applicable, and provide communication on new business processes.</p>