OREGON OFFICE OF
Public Defense Services

PDSC Financial and Case Management System

Governance, Oversight & Accountability Plan
Version 3.0

Authorized Signatures

PROPOSAL NAME AND DOCUMENT VERSION #	PDSC Financial and Case Management System Project Governance Plan v. 3.0		
AGENCY	Public Defense Services Commission - Office of Public Defense Services	DATE	August 15, 2022
AGENCY CONTACT	Jim Conlin	PHONE NUMBER	(503) 378-2165

The signatures in this section attest to a review and approval of the business case as proposed.

This table to be completed by Agency		
Agency Head or Designee		
Brian Deforest	(Date)	August 15, 2022
OPDS Deputy Director		
Signature		
Agency Executive Sponsor		
Ralph Amador	(Date)	
OPDS Budget Manager		
Signature		
Agency Executive Sponsor		
Eric Deitrick	(Date)	
OPDS General Counsel		
Signature		
Agency Executive Sponsor		
Wendy Heckman	(Date)	
OPDS HR Manager		
Signature		
Agency Chief Information Officer (CIO)		
Jim Conlin	(Date)	
OPDS CIO		
Signature		

Document Information

0.1 Document Purpose

This document describes the governance structures, oversight mechanisms, and accountability for the Public Defense Services (PDSC) Financial and Case Management System (FCMS) project.

0.2 Revision History

Version	Date	Author	Description/Changes
2.0	11/09/2020	K. Styles	Edits – Additional Governance Members
2.1	02/02/2022	K. Styles	Edits – Governance Committee Restructure and Document Refresh
3.0	08/15/2022		Final Draft

Table of Contents

1. Executive Summary

1.1 Background

The Oregon Public Defense Services Commission (PDSC) is facing a crisis in providing adequate and available public defense services to indigent individuals. Recently the American Bar Association (ABA, 2022) published a report detailing the lack of available attorneys as well as a lack of capacity to collect and store public defense data[1]. In conjunction with the ABA study, the Sixth Amendment Center (6AC, 2019) analysis found that Oregon public defense was in desperate need of reform, calling for restructured policies, business processes, financial accountability, and oversight[2]. PDSC is aware of the concerns raised by these reports and is seeking to remedy the issues through the procurement of a Financial and Case Management System (FCMS).

The FCMS Project will allow PDSC to improve its business processes through the implementation of a streamlined technical system which will facilitate the collection of data related to public defense services provided by contractors and Office of Public Defense Services (OPDS) staff. The project management team, with the support of previous stakeholders, designed Project Goals and Outcomes (See Appendix A)[3]. It is understood that this document will ensure that the project is meeting desired project outcomes with the implementation of a new system. In addition, the System will facilitate the monitoring of standards and increase availability of data for reporting and case management needs.

1.2 Problem Statement

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[4].

---

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

[2] 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.

[3] *The Project Goals and Outcomes were designed with the support of the 2020-2021 Project Governance and Steering Committees. These priorities will be revised and reconsidered with the new Project Governance and Steering Committee members to ensure the most recent requirements have been considered.*

[4] American Bar Association & Moss Adams. (2022). The Oregon Project *An Analysis of the Oregon Public Defense System and Attorney Workload Standards. Pg. 15*. Retrieved from:
https://www.americanbar.org/content/dam/aba/administrative/legal_aid_indigent_defendants/ls-sclaid-or-proj-rept.pdf

The systemic issues that plague the nation are well understood by PDSC, and like many organizations providing public defense there are a multitude of factors attributing to the demise of functioning systems. PDSC recognizes that Oregon's current practices are fractured by the 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 consistent and often do not offer accurate or reliable data elements.

To continue on a path in which PDSC can effectuate change in how Oregon maintains and manages public defense services, PDSC must procure a system that can be used by all public defense providers, and that can integrate with Oregon courts and partner agencies to efficiently and accurately assess public defense services quantitatively and statewide.

PDSC seeks to procure and implement an integrated financial and case management system that will provide a streamlined data entry tool for providers and internal staff, process and audit payment requests, and collect accurate information to allow for case and financial data analysis.

1.3 Governance

The FCMS project governance structure includes a voting four-members; and one non-voting member of the Executive Sponsors group and two additional members as informed parties and a voting eleven-member project Steering Committee. The FCMS project governance structure is designed to engage project-related committees, stakeholders, functional management groups for operations expertise, project management and support, technical support, and policy advice.

1.4 Oversight

The project Executive Sponsors and Steering Committee will establish oversight to monitor the planning, design, and execution of the various project components (Figure 1. FCMS Oversight provides a diagram to specify how oversight will be assured while executing project management principles). These governing bodies which are described in more detail in the following pages, include internal project oversight, agency oversight as described in the governance discussion, quality assurance, and legislative oversight. While the activities and areas of focus differ among these different oversight authorities, their goal is the same – to ensure cost effective use of public funds to maximize the value of the FCMS project. The Steering Committee will provide continued oversight of the structure and function of the FCMS project and make recommendations for policies, processes, and guidelines as it relates to project implementation.
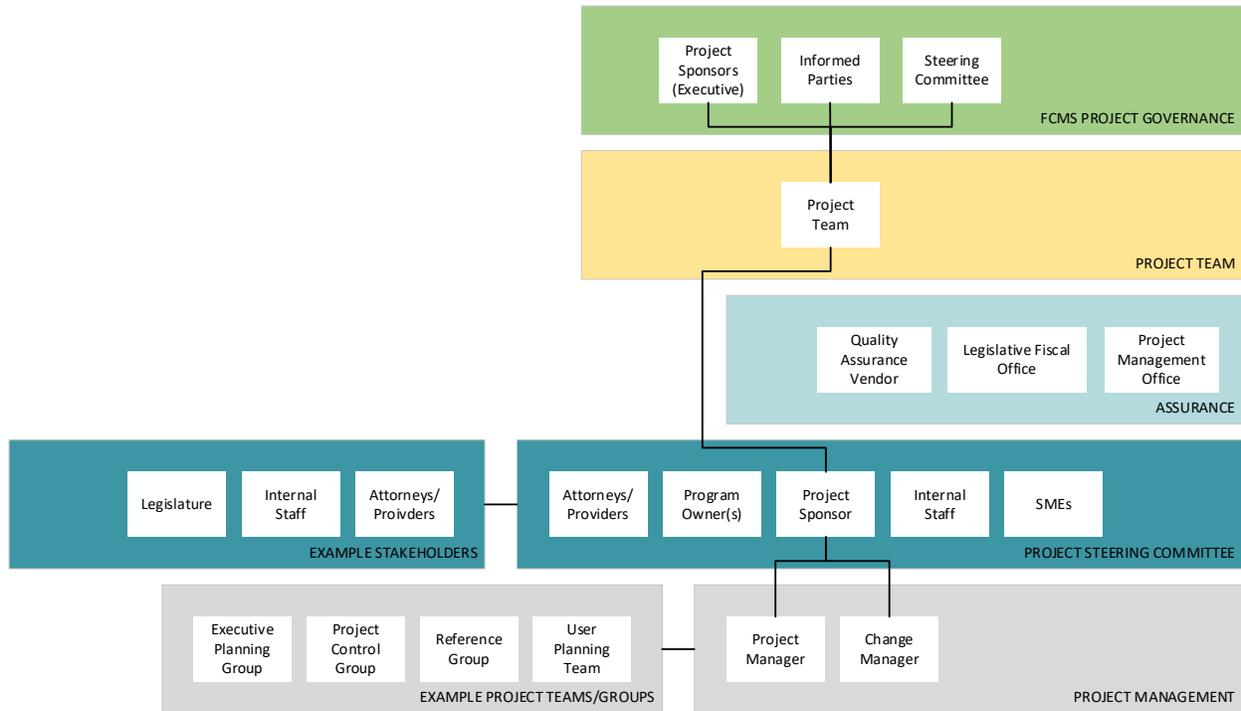
Figure 1. FCMS Oversight

The Project Workflow below represents the workflow for projects following project management principles. The FCMS project being an IT project will include the Projects with a Procurement or IT Project workflow.
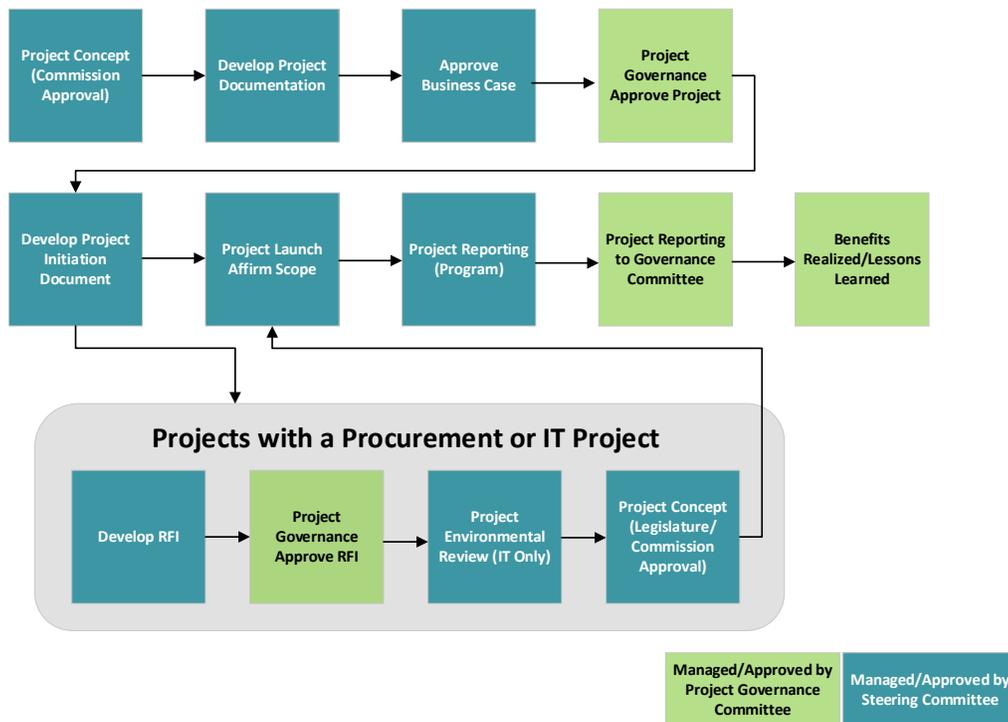

Figure 2. Project Workflow

1.5 Accountability

Ultimate accountability for the success of the FCMS project lies with the Project Sponsor. However, like the governance and oversight functions described above, there are multiple layers of accountability related to the execution and management of the FCMS project. PDSC is putting in place appropriate disciplines (e.g. project management, quality control, status reporting, transparent decision making, budget/schedule variance reporting, and risk and issue tracking) to track and manage overall project performance.   A description of these disciplines and how they are being used is provided in Sections 3 and 4.

2.   Governance

The FCMS project governance structure operates as follows:

- **Establish** the basis for project governance, approval and measurement —including defining roles and accountability, policies and associated processes.
- **Establish** transparent processes for documenting decision-making related to the project.
- **Evaluate** project proposals to select those that are the best investment of funds and scarce resources and are within the PDSC capability and capacity to deliver.
- **Enable** resourcing of projects with staff and consultants, harnessing and managing of business and legislative support and the provision of necessary resources.
- **Define** the 'desired business outcomes' (end states), benefits and value — the business measures of success and overall value proposition.
- **Control** scope, funding, delivered project value.
- **Approve** and monitor project and project schedule.
- **Monitor** the project's progress, stakeholders' commitment, results achieved and leading indicators of failure.
- **Measure** the outputs, outcomes, benefits and value — against both the plan and measurable expectations.
- **Act** to 'steer' the project, remove obstacles, manage/monitor critical success factors and remediate project or benefit-realization shortfalls.
- **Develop** the organization's project delivery capability — continually building and enhancing its ability to deliver more complex and challenging projects in less time and for less cost while generating the maximum value.

The governance of the FCMS project will not be a static endeavor. While the goals of governance are fixed, the structure and methods may change to accommodate changes in policy, funding, timelines, and expectations. As key positions are added to the project effort, the governance structure and documentation will be updated to clarify specific roles and responsibilities.

2.1 FCMS Governance Structure

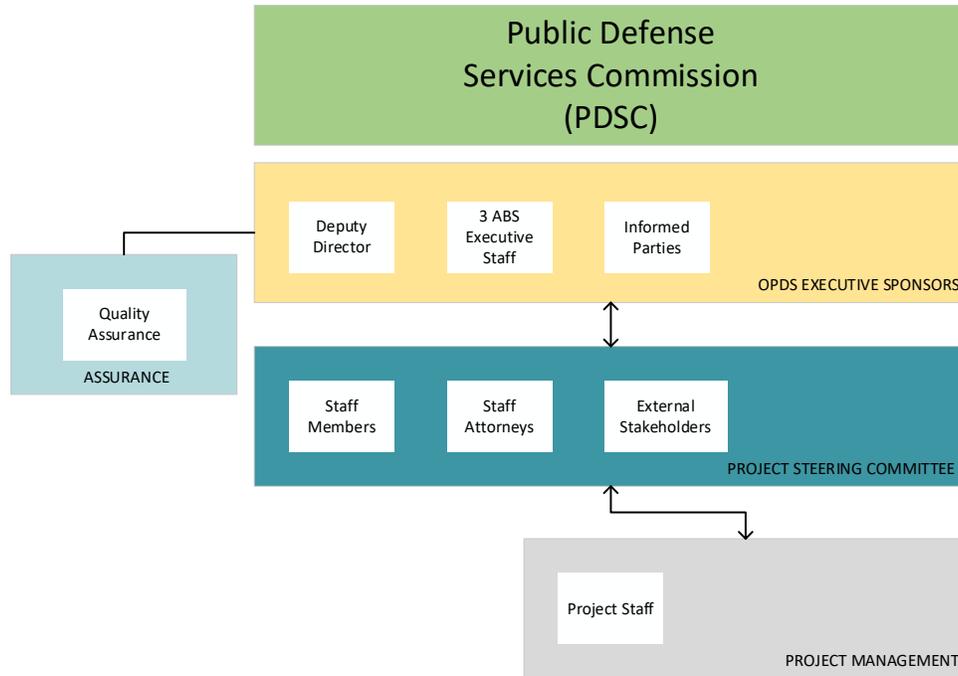Figure 3 shows the FCMS governance structure or model required for the completion of the project.

Figure 3. FCMS Governance Structure

2.1.1 PDSC Executive Sponsors

The Executive Sponsors are responsible for ensuring that the stakeholders understand the value and importance of the FCMS project and, ultimately, for realizing the benefits predicted for the project. In practice these responsibilities are carried out by performing the following functions:

- Be champion leaders of the project
- Have accountability for the project and ongoing accountability for the outcomes
- Advocate for the project internally and externally
- Obtain funding for the project
- Accept responsibility for addressing problems escalated from the project Director/Manager/Team
- Approve documents including the Business Case and Program Charter and other project management related documentation
- Facilitate and support policy and funding recommendations
- Provide overview and direction for the project
- Resolve issues identified by the project, when requested
- Monitor the project budget
- Monitor project risks
- Ensure deliberations of the project are adequately recorded and available to the appropriate parties

The charter of the Executive Sponsors is provided in ***APPENDIX A***. The charter describes the role, membership, responsibilities, and operations of the Executive Sponsors.

2.1.2 FCMS Steering Committee

The primary function of the project Steering Committee is to provide senior level decision-making authority within the governance structure. Those in this role are leaders and top managers from within PDSC and contracted public defense providers. The responsibility of the steering committee will primarily be focused upon reviewing and monitoring the strategic direction of the FCMS project and to support the project team in implementing the project lifecycle throughout the stage-gate process.

The Steering Committee provides a stabilizing influence so organizational concepts and directions are established and maintained with a visionary view aligned with the PDSC mission. The Steering Committee provides insight on long-term strategies in support of legislative mandates. Members of the Steering Committee ensure business objectives are being adequately addressed and the project remains under control. In practice these responsibilities are carried out by performing the following functions:

Initiate: Establish the Project Governance Framework
- Project Governance Framework
- Roles and Responsibilities
- Stakeholder Engagement

Plan: Define the Metrics
- Define Strategic Goals of the Project
- Risk & Issue Management
- Stakeholder Engagement/Communication

Executing: Execution of the Governance Framework
- Control Scope
- Resolve Project Conflicts/Disputes
- Provide Assistance to Project Team as Needed

Monitoring and Controlling
- PM Control Processes
- Recommend formal acceptance of project

Closing: Assurance
- Ensure the Framework Established is Effective
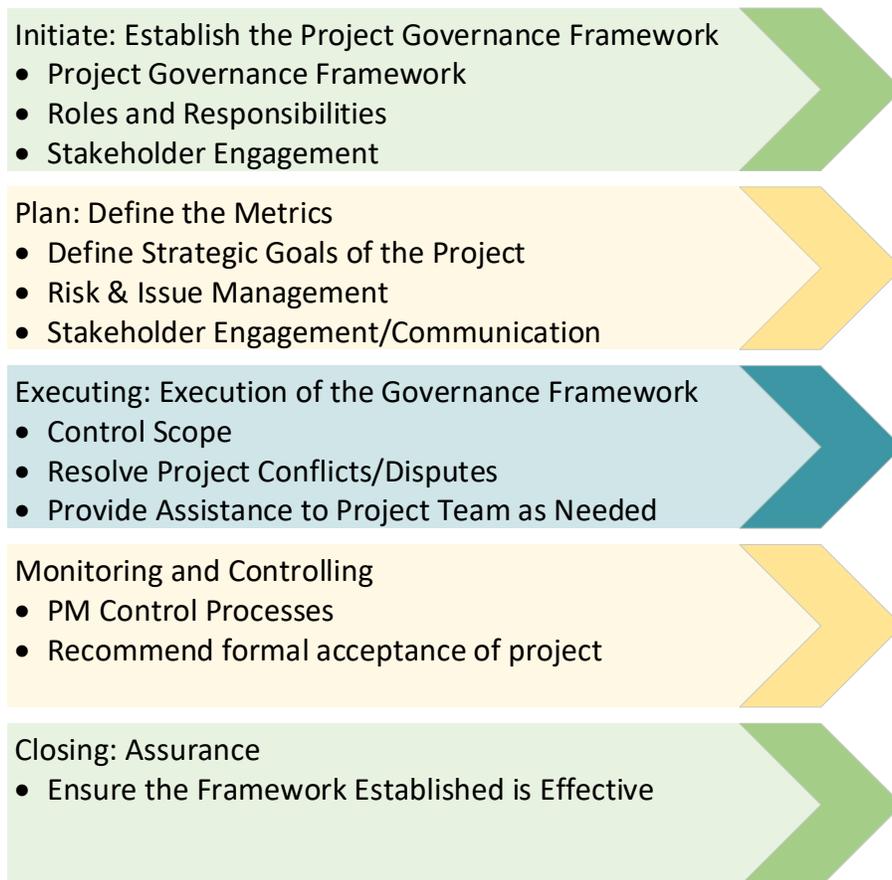
The project Steering Committee will operate from a project charter in order to conform with agreed upon Steering roles, membership, responsibilities and operations. The Steering Committee Charter is provided in APPENDIX B.

2.1.3 Stakeholder Interest Groups (SIG)

Stakeholder Interest Groups will be formed and utilized to provide internal and external awareness of Oregon public defense needs and standards and assist with system requirements. Members of this group are non-voting but represented by the project Steering Committee.

2.1.4 Information Technology Committee (ITC)

The Information Technology Committee will consist of three PDSC members. This group will be an informed body that will represent project needs and awareness to the full Commission (PDSC) and Oregon Legislature. In addition to being a champion of the project this group will provide limited direction to overall project.

3. Accountability

Accountability for successful implementation of the FCMS project lies with OPDS and the project sponsor. This would require that PDSC account for project activities, accept responsibility for the work conducted and disclose all results and outcomes in a transparent manner. To ensure that accountability is understood and managed effectively this section of the Governance plan describes Project Leadership, Program Support, Management Disciplines, and an Integrated Accountability Model.

3.1 FCMS Project Leadership

Project leadership for the FCMS project will be assigned to the project management staff, and will support the project with project management methodologies, planning, task coordination, vendor management and documentation needs for the remainder of the project.

3.2 Program Advisory Support

The agency will provide internal staff as subject matter experts (SME). The project will rely on SMEs to provide working knowledge of operational and public defense requirements. In addition to defining requirements SMEs will also help the project team with identifying and resolving resource priorities.

3.3 Management Disciplines

The Project team will work from the guidance laid out in this document as well as other project documentation (Project Charter, Project Management Plan) to ensure adherence to all agreed upon measures to manage the FCMS Project. Additionally, the Project Team will execute appropriate project management disciplines (e.g. project management, quality control, status reporting, budget/schedule variance reporting, risk and issue tracking) to track and manage overall project performance. These disciplines include:

- Monthly meetings between the project team and the Executive Sponsors.
- Monthly project reports (with schedule and budget variance) to the Steering Committee, Executive Sponsors, QA vendor, and Legislative Fiscal Office (LFO).
- Monthly risk management / mitigation meetings.
- Development of a project schedule and budget using Microsoft project
- Regular meetings between project staff and executive sponsors, LFO.
- Executive sponsor response to QA findings and risk reports.

3.4 Integrated Accountability Model

Accountability is a critical asset that affords the acceptance of responsibility. The Governance Committee carries a large degree of responsibility for project success, as well as supporting the mission and values of the PDSC. As part of ensuring that both the project and the PDSC are well represented the Governance Committee will utilize the following framework known as the Five C's for Building Team Accountability[5].

- Common Purpose
- Clear Expectations
- Communication & Alignment
- Coaching & Collaboration
- Consequences

1	2	3	4	5
Common Purpose	**Clear Expectations**	**Communication & Alignment**	**Coaching & Collaboration**	**Consequences**
WHY	WHO & WHAT	HOW	ADJUST	POSITIVE & NEGATIVE
Why does this matter?	*What does success look like?*	*How do we set this up for success?*	*How's it going/ adjustments needed?*	*Learn & Act*

Copyright Rhythm Systems ©

---

[5] Rhythm Systems. 2022. Leadership Accountability: Build Accountability Leadership in your Team. Retrieved from: https://www.rhythmsystems.com/blog/the-five-cs-of-team-accountability

4. Oversight

There are multiple levels of oversight to monitor the planning, design, and execution of the FCMS project. These levels include internal project oversight, independent quality assurance, and legislative oversight. While the activities and areas of focus differ among these different oversight authorities, their goal is the same – ensure cost effective use of public funds to maximize the value of FCMS project investments for the betterment of public defense services and outcomes.

4.1 Project Oversight

At a fundamental level, there are considerable day-to-day and week-to-week oversight of project activities that will be needed to ensure success. This level of oversight is being put in place to ensure consistency in project management and reporting and early identification and mitigation of project risks. Examples of these disciplines, processes, and structures include:

- Adherence to relevant PMBOK project management
- Creation and execution of numerous project planning documents that describe how the organization will approach the project and address project functions (e.g. Project Plan, Cost Management Plan, etc.).
- "Skip level" meetings between Executive Sponsors and project team members and/or stakeholders.
- Regular status meetings for staff assigned project activities
- Monthly risk management team meetings.
- Regularly scheduled meetings among the project stakeholders.

4.2   FCMS Project within PDSC Oversight

Section 2.0 Governance provides a description of FCMS project governance structure established by the Project Sponsor to provide ongoing monitoring and oversight of the overall project. Project-specific oversight functions/activities that have been established include:

- Multi-tiered governance structure (e.g. Executive Sponsors and project Steering Committee).
- Regular status meetings between the project team and Executive Sponsors and interested parties.
- Regular meetings with the Financial Manager for budget preparation, tracking, and reporting.
- Meetings, as needed, with procurement and General Counsel to ensure adherence to contracting rules and contract terms.
- Adherence to PDSC personnel rules, policies, and guidelines.

4.3   Independent Quality Assurance

A Quality Assurance (QA) vendor provides the Project Sponsor, CIO, Information Technology Committee, and the Executive Sponsors with regular quality assurance and quality control reports related to processes, products, risks, and challenges associated with ongoing planning, implementation, timelines, and budget.

The project team will work with independent quality assurance vendors in two distinct phases:
- Phase One: To review project documentation and project initiation efforts prior to procuring a system vendor.
- Phase Two: To provide oversight of the project implementation process between the project team and the selected system vendor.

4.4 Legislative Oversight

The legislature and the LFO will provide additional fiscal and project-level oversight of the FCMS project. PDSC has worked with the LFO to start foundational project documentation and address issues and concerns. PDSC will provide regular project status reports to legislative committees as requested. Activities related to legislative oversight include:

- Regular status reports.
- Regular meetings between FCMS project staff and the LFO.

PDSC will work closely with the LFO and the legislature to address the projects status, implementation, issues and concerns.

5. Plan Maintenance

The FCMS project Governance, Oversight, and Accountability Plan, once finalized and approved by the Executive Sponsors, will be provided to the LFO. The FCMS project Governance Overview will be reviewed and updated when governance changes are made or on an annual basis.

APPENDIX A – FCMS Project Executive Sponsors Charter

The Executive Sponsors are responsible for ensuring that the stakeholders understand the value and importance of the FCMS project and, ultimately, for realizing the benefits predicted for the project.

Role

- Leadership and Sponsorship of the project
- Final decision on project plans, changes, and policies
- Communications to Legislature in conjunction with Legislative Liaison

Responsibilities

- Be champion leaders of the project
- Have accountability for the project and ongoing accountability for the outcomes
- Advocate the project internally and externally
- Obtain budgets for the project
- Accept responsibility for problems escalated from the project
- Sign off documents such as the business case and component charter
- Facilitate and support policy and funding recommendations
- Provide overview and direction for the project
- Resolve issues identified by the project when requested
- Monitor the project budget
- Monitor project risks
- Ensure deliberations of the project are adequately recorded and available to the appropriate parties
- Review monthly project management reports
- Review and approve recommendations from Steering Committee
- Review and approve draft policies from Steering Committee
- Raise potential issues and recommendations
- Review QA reports

Leadership

- Chaired by the Deputy Director

Duration

- Life of project

Meeting Frequency

- Scheduled monthly and held based on agenda
- Called by the Deputy Director
- Executive Sponsors can act without a Steering Committee meeting

Membership

- Budget and Finance Manager
- Human Resource Manager
- Chief Information Officer

Appointments

- As directed by the Deputy Director

Communications

- Project information reports on monthly basis
- Project Skip Level Meetings Ad Hoc
- Status updates from project staff

APPENDIX B – FCMS Project Steering Committee Charter

The primary function of the FCMS project Steering Committee (Steering Committee) is to take responsibility for the feasibility, business case, and the achievement of outcomes of the FCMS project. The Steering Committee will monitor and review the project status, as well as provide oversight of the project and project deliverable rollout.

The Steering Committee provides a stabilizing influence so organizational concepts and directions are established and maintained with a visionary view. The Steering Committee provides insight on long-term strategies in support of legislative mandates. Members of the Steering Committee ensure business objectives are being adequately addressed and the project remains under control. In practice these responsibilities are carried out by performing the following functions:

Role

- Advisory to Executive Sponsors and project team
- Review and make recommendations on project plans, changes, and policies

Responsibilities

- Monitor and review the project at regular project Steering Committee meetings
- Provide assistance to the project when required
- Control project scope as emergent issues force changes to be considered, ensuring that scope aligns with the agreed business requirements and key stakeholder groups
- Recommend approval of project and Component Plans
- Recommend approval of significant changes to project scope or plans
- Review monthly project management reports
- Review draft project policies
- Raise potential issues to executive leadership team and recommendations to Executive Sponsors
- Review QA Reports

Leadership

- Chaired by (TBD)
- Vice-Chair is (TBD)

Duration

- Life of project

Meeting Frequency

- Monthly or every six weeks through implementation
- Quarterly after implementation through project close

Membership

- Seven staff members
- Four External Stakeholder

Appointments

- Deputy Director appoints membership
- Steering Committee selects Chair

Communications

- Project information reports on monthly basis

Role of a Steering Committee Member

It is intended that the FCMS project Steering Committee leverage the experiences and expertise of key individuals committed to professionalism in project management and execution. Steering Committee members are not directly responsible for managing project or project activities but provide support and guidance for those who do. Thus, individually, FCMS project Steering Committee members should:

- Understand the strategic implications and outcomes of initiatives being pursued through outputs.
- Appreciate the significance of the project for some or all major stakeholders and represent their interests.
- Be genuinely interested in the project and be an advocate for broad support for the outcomes being pursued in the project.
- Have a broad understanding of project management issues and approach being adopted.

- In practice, this means they:
- Review the status of the project.
- Ensure the project and projects' outputs meet the requirements of the business requirements and key stakeholders.
- Help balance conflicting priorities and resources.
- Provide guidance to the project team and users of the project outputs.
- Consider ideas and issues raised.
- Check status of projects and activities within the Department.
- Foster positive communication outside of the committee regarding the project's progress and outcomes.
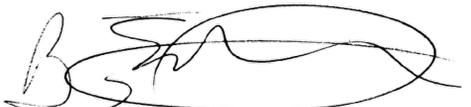
APPENDIX C – Decisions and Actions

Overview

By signature, the project Executive Sponsors indicate their agreement for and support of this plan.

Action Taken

	Action Taken
☐	**Approved** – move forward as presented.
☐	**Approved with minor changes** – approved without additional review, assuming minor changes are made
☐	**Change** – make requested changes with another review for approval
☐	**Hold** – hold work on this request; to be reviewed again later
☐	**Denied** – request denied

Approving Authorities

August 15, 2022

_____   _____
Project Sponsor   Date

_____   _____
Project Sponsor   Date

_____   _____
Project Sponsor   Date

_____   _____
Project Sponsor   Date

_____   _____
Project Sponsor   Date