2024 | Oregon Public Defense Commission

OPDC Financial and Case Management System

Project Scope Version 2.0

Signatures

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

Agency Will Complete and Sign Below

Title/Role/Name	Signature	Date
Executive Sponsor Emese Perfecto Deputy Director		
Executive Business Owner Ernest G. Lannet Chief Defender, Criminal Appellate Section		
Executive Director Executive Division Jessica Kampfe Governance Committee		
Chief Financial Officer Ralph Amador Governance Committee		
Chief Deputy Defender Kali Montague Governance Committee		
General Counsel Eric J. Dietrick Governance Committee		
Chief Information Officer David Martin Governance Committee		

Document Purpose

This document describes the overall project scope and what is to be considered as imperative for a successful implementation of the Financial and Case management System (FCMS) project. Details surrounding budget, business case, marketing, change management, and communications will be discussed in accompanying documents.

Revision History

Author	Date	Version	Description/Changes
Lucy Edwards	7/15/2024	0.1	Draft
Lucy Edwards	7/17/2024	1.0	Final Draft
Mary Knoblock	8/20/2024	2.0	iQMS recommendations, charts

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1.0 Project Background

Oregon Public Defense Commission's (OPDC) organizational structure has shifted with the requirements of HB 5030 (2021). Previously, the Administrative Services Division (ASD) of OPDC administered contracts for public defense services, and the payment and reimbursement of non-routine expenses (NREs). While the Appellate Division (AD) provided all appellate level representation to those eligible to receive public defense services.

Historically, the agency utilized a series of internally built Microsoft Access databases and Microsoft Excel spreadsheets to manage business processes and store data. Configuration and maintenance of these tools (e.g., databases and spreadsheets) were managed informally. The informal change management process resulted in inconsistent and untenable modifications to the databases and spreadsheets. The lack of integrated tools limited OPDC's ability to monitor or analyze contract data or reimbursements.

Due to the reorganization efforts detailed in HB 5030, proper tools and functionalities have become critical to OPDC. Within OPDC's current technological framework, several divisions continue to fall short. In the absence of a financial and case management system with modern capabilities, this will continue.

The CAP Division will be impacted the most by a new system. This is because its primary purpose is to analyze the compliance of trial level and juvenile (Parent Child Representation Program (PCRP)) contracts, research analytics of public defense outcomes, and conduct internal audits of agency operations and procured services[1]. These functions require a robust, secure, and highly functioning system, and cannot be executed with current technology.

The Financial Case Management System (FCMS) project will replace OPDC's end of life, internally built database structure with a cloud hosted, Commercial-Off-the-Shelf (COTS) system. Oregon must have a system that provides timely payments to contractors and providers and can capture comprehensive data on public defense. The FCMS will also afford the agency the ability to produce detailed and structured reports, as requested by the legislature and recipients of public defense services.

OPDC's goal of a transparent and effective public defense model requires modern operational technologies.

1.1 Strategic Alignment

OPDC is directed by their statutory responsibilities, vision, mission, values, policies, and standards. The commission values legislative advocacy and embraces standards of service from all OPDC staff. The commission has set forth goals and strategies in which they believe best meet those responsibilities while ensuring Oregon public defense is positively impacted.

Oregon is not alone in their efforts to understand and make positive changes for those who interact (both professionally and personally) within the Criminal Justice system. The commission has embraced input from community members who 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 a tool that addresses provider and attorney case management needs, client representation tools, and outcome measures. The system will also provide a mission critical payment system to ensure timely distribution of funds. The system will ensure that the goals and strategies of the commission, as well as the technical and services requirements of the agency are met.

1.2 Business Impact

The expected impact of the FCMS project for OPDC is high. However, the risk of inaction is far greater. OPDC will be expected to conduct a thorough analysis of business and technical requirements and system configuration, in conjunction with Oregon law. Consideration of business processes, data collection practices, and data share agreements will be crucial to the planning and analysis phases. During implementation thorough testing of the new system will be completed to ensure it meets the acceptance criteria and integration needs of the agency. In addition, 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.

2.0 Project Purpose and Business Justification

OPDC seeks to replace their antiquated, internally built and supported, financial and case management tools with a Commercial Off-the-Shelf (COTS) integrated technical solution. The intent of this project is to automate data entry, to provide consistent data collection, and to take advantage of vendor sponsored enhancements. The technical solution will provide the ability to:

1. Create a centralized link between accounts receivable, accounts payable, contracts, and case management
2. Produce financial and case performance metrics through a centralized and integrated system
3. Assess case activities and outcomes while maintaining attorney/client confidentially
4. View staff/contractor engagement in actual time

5. Enhance transparency, and accountability through a data driven, interactive internal and external partnership
6. Audit compliance with statutory and constitutional requirements

2.1 Objectives

The Financial and Case Management System (FCMS) Project will allow OPDC to improve its business processes through the implementation of a streamlined technical system. The system will facilitate the collection of data related to public defense services, which are provided by contractors and OPDC staff. The data collected through the FCMS will improve the agency's ability to provide performance metrics and adhere to data and reporting standards.

3.0 Included in Project Scope

This section shows representative high-level requirements in each area. A full listing of all in-scope requirements can be found in the requirements document "FCMS Functional & Technical Requirements.

3.1 Financial Management

- Attorney/Provider reimbursement claims
- Payment schedule
- Audit functions
- Payment tracking
- A completely automated paperless vendor payment system
- Accounts Payable

3.2 Case Management – Trial Practice (internal / external providers)

- Comprehensive Data Collection
- Non-Contracted legal work
- Case milestones (pretrial information, conditions of release, investigation practices, expert consultation, motions filed, and plea offers)
- Basic event data
- Case information (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
- Calendaring
- Redacting
- Digital evidence storage (including video, jpeg, and audio files)
- Multiple address, email, and phone number storage

- Client locating system (in jail, out of custody, at the Oregon State Hospital (OSH), in prison)
- Auto populate eCourt data and basic case information
- Notes functionality
- Document generation for a case (standard templates for documents they file and letters for phases of the case)
- Document Management and Automation
- Data share agreement with Oregon Judicial Department (OJD)
- Data share with Department of Administrative Services (DAS) RStars system for vendor payments
- Data migration for data elements in the FCMS (OPDC/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 FCMS for OPDC and Providers
- Accessibility to authorized internal and external users
- Internal email / instant messages for communications within FCMS
- Integration with Microsoft communication systems and FCMS
- Review of all duplicated forms and ancillary systems for in scope work and or deprecation for future phases
- Development and negotiation of new contracts with providers
- Management of the legal contractual dynamic between OPDC and vendors
- Identification of contract rates for providers

3.3 Case Management – Appellate Division

- Standard case document generation (letters, orders)
- Case Details
- Case Processing
- Client and case type searches
- Document Management and Automation
- Comprehensive Data Collection
- Attorney Caseload
- Attorney Oversight
- Conflict search and identification
- Appointment, due date, and event calendars (manual and automated)
- Task management
- Guided workflow process
- Email and communication management
- Digital evidence storage (including video, jpeg, and audio files)
- Multiple address, email, and phone number storage
- Client locating system (in jail, out of custody, at the Oregon State Hospital (OSH), in prison)

- Auto populate eCourt data and basic case information
- Notes functionality
- Ability to create documents with e-signing function
- Non-Client contact tracking
- Document and form automation

3.4 Reporting

- System predefined reports
- System ad hoc reports
- Direct database access via PowerBI and other platforms for custom reporting

3.5 Time Keeping

- Attorney, Non-Attorney, Internal/External Providers
- Ability to Track Time by case or client.
- All divisions will have the ability to track time in 6-minute increments (Trial, Appellate, Juvenile, etc.)

4.0 Excluded from Project Scope

- Ability to electronically file circuit or appellate court documents directly from FCMS
- Ability for OPDC to maintain a vendor or
- Ability for OPDC to migrate to an employment relationship with indigent defense Attorneys
- From an agency management perspective: System generated budget projections, payroll management, supply procurement, personnel management
- Preparation and/or presentation of legislative concepts not related to FCMS
- Policy related provisions of public defense services
- Client satisfaction of legal representation
- FCMS system based on artificial intelligence
- FCMS system will not be able to determine whether a person received adequate representation
- New hardware / software not directly related to new FCMS
- Other projects not directly related to the procurement, configuration, and deployment of a new FCMS system

5.0 Milestones and Deliverables

TABLE 1 - FINANCIAL & CASE MANAGEMENT SYSTEM HIGH-LEVEL TIMELINE

Planning Phase – Q1 2024 through Q1 2025
• Funding Approved for the 2023/2025 Biennium
• Project Fully Staffed
• Requirements Gathering Complete
• Implementation Vendor Request for Proposal Posted
• Organizational Change Management Strategy & Plan Approved
Execution Phase – Q2 2025 through Q1 2026
• Implementation Vendor Onboarded
• Gap Analysis Completed
• User Training Complete
• Construction Complete
• Go-Live
Closing Phase – Q2 2026 to Q3 2026
• Program Closure

6.0 Assumptions and Constraints

Stakeholders must remain mindful of these issues to prevent any adverse impacts to the project's schedule, cost, or scope.

6.1 Assumptions

1. Sufficient staff from OPDC, and the selected vendor are available to fully support the FCMS project.
2. Decisions are made in a timely manner by the Executive Leadership Team.
3. Project team has the authority to approve deliverables for the project.
4. Project technology complies with information security standards adopted by OPDC, and DAS.
5. Operational Leadership Team will assist in review of formal project documentation.
6. OPDC, and the selected vendor assist in coordination of interface testing efforts with stakeholders.
7. OPDC, and FCMS Project SMEs participate in FCMS User Acceptance Testing.
8. OPDC team members respond promptly to FCMS correspondence requests; participate in FCMS training; and actively engage in Go-Live activities.
9. Executive Steering Committee respond promptly to FCMS correspondence requests; participate in FCMS training; and engage in Go-Live activities.
10. Oregon Legislature funds the project.
11. External providers must use the FCMS if possible.

6.2 Constraints

1. Current technical tools must be maintained until a system is in place for financial management, contract administration, and case data tracking.
2. Limited staffing availability at OPDC.
3. Project must work with various stakeholders across multiple hybrid schedules (in person, and remote) utilizing MS Teams, and limited OPDC office space.

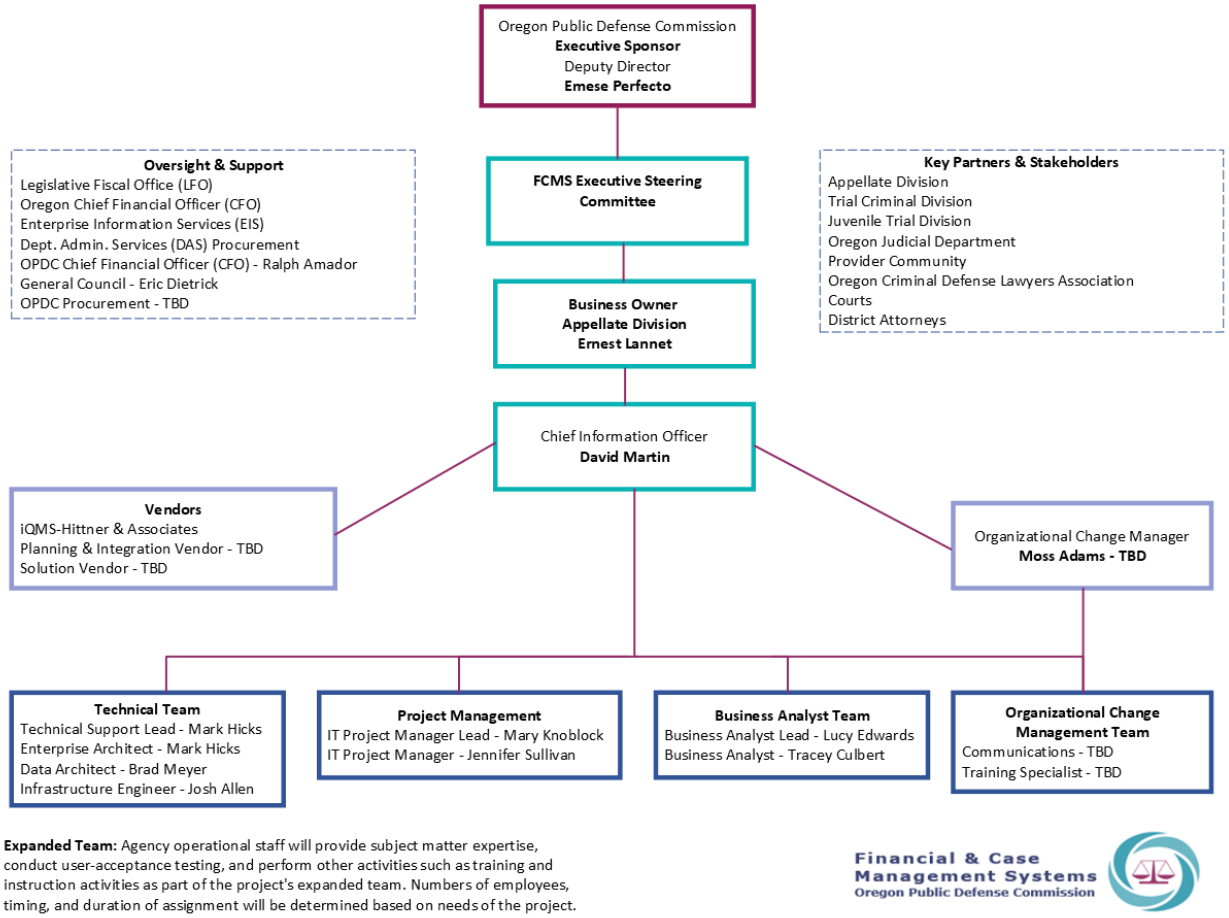
7.0 Project Governance

Organization for FCMS is broken down into three main categories:

1. Internal program management teams
2. Oversight groups
3. Governance and Change Control

Each group is represented by one or more individuals and several groups have internal organization structures. A visual representation of the program organization is included below.

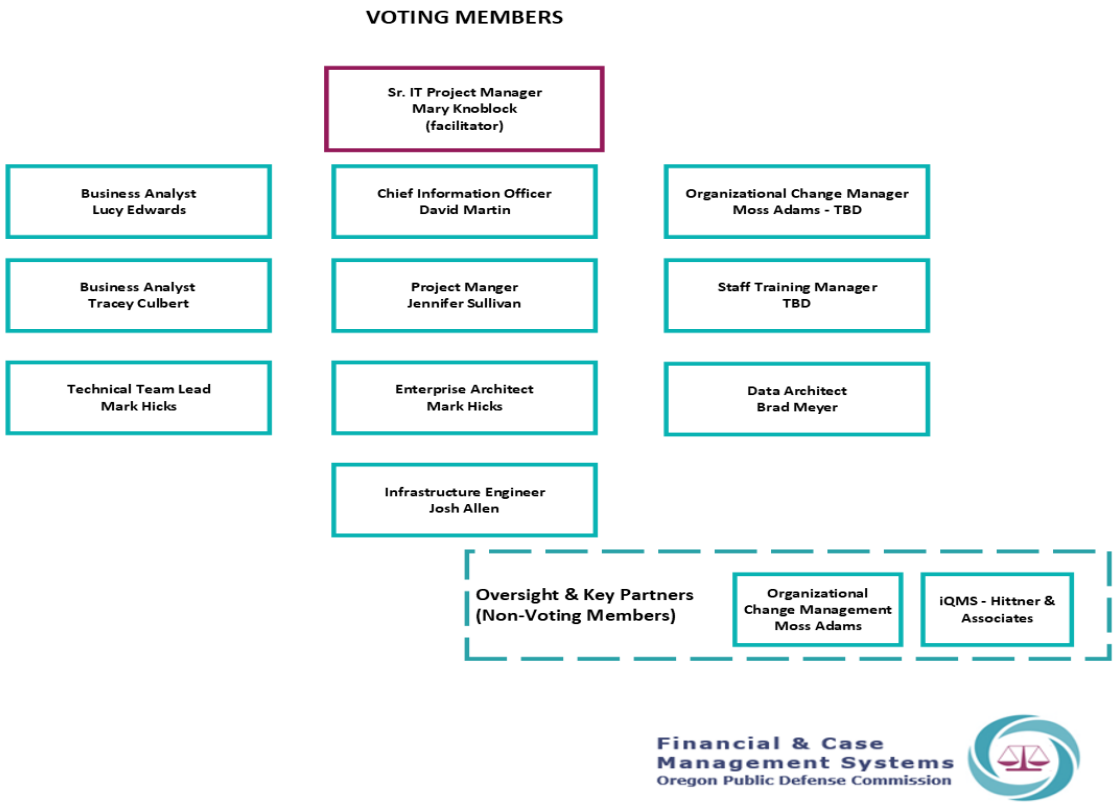
FIGURE 2 - FINANCIAL & CASE MANAGEMENT SYSTEM – PROJECT ORGANIZATIONAL CHART



The governance structure for FCMS is based on coordination and increasing levels of decision-making authority. Emese Perfecto is the Deputy Director and Executive Sponsor for the project and will be partnering with OPDC's CIO, David Martin, and the project's Business Owner, Ernest Lannet (Chief Defender, Criminal Appellate Section) to make up the Executive Leadership Team for FCMS. Together they will have the authority to make the decisions that drive the project and will also function as the voting members for the project's change control process.

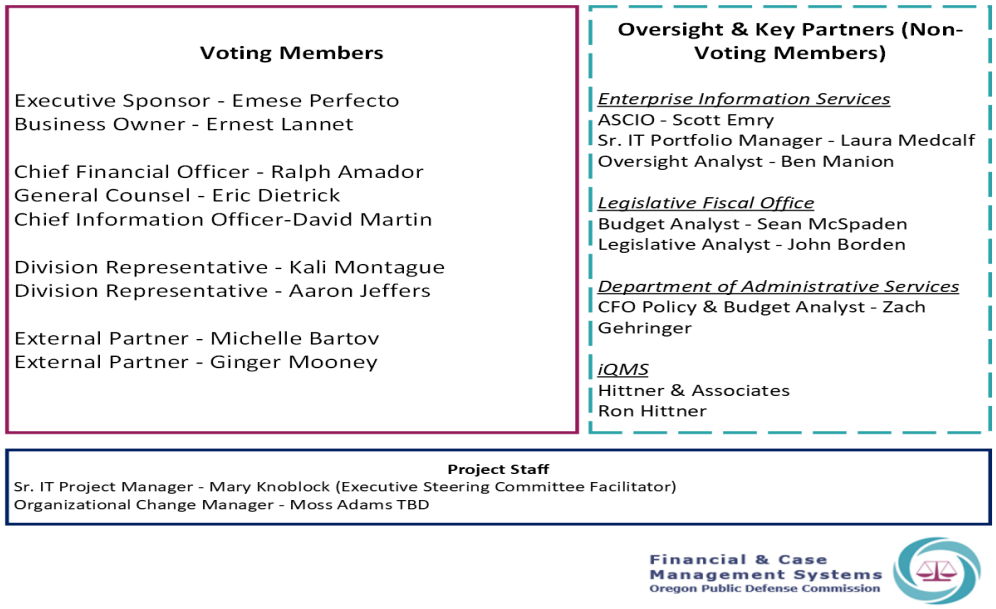
The Core Team is made up of the CIO, Project Manager, oversight groups and key partners as well as the project team Leads as represented in the graphic below. This team will also act as a Change Control Board for changes requiring Level 3 decision making authority.

FIGURE 3 - FINANCIAL & CASE MANAGEMENT SYSTEM - CORE TEAM ORGANIZATIONAL CHART



The Executive Steering Committee (ESC) for FCMS is comprised of internal and external stakeholders. ESC reviews and approves changes requiring Level 4 decision making authority.

FIGURE 4 - FINANCIAL & CASE MANAGEMENT SYSTEM EXECUTIVE STEERING COMMITTEE



The Stakeholder Engagement Committee (SEC) has been organized to ensure all divisions have a voice regarding changes that will impact their work due to FCMS. Members will have the opportunity to strategize around each division's unique needs.

7.1 Internal Project Management

In addition to governance, the FCMS project is organized into various teams based on area of specialty and services provided to the project. Additional internal staff will be added later in the program to include Help Desk Support, Developers, Server Lead and Support, and a Network Lead. The current known internal program management teams include:

1. Project Management Team
2. Technical Services Team
3. Organizational Change Management Team
4. Business Analyst Team

The Project Management Team is responsible for performing and managing the work directly related to program activities. For an in-depth overview of how changes and decisions will be approved and recorded, please reference the Change Request Management Plan (in development).

7.2 Oversight

The project has multiple levels of internal and external oversight as described in the table below.

TABLE 2 FINANCIAL & CASE MANAGEMENT SYSTEM OVERSIGHT ROLES & RESPONSIBILITIES

Advisory and External Roles and Responsibilities	
Role	**Responsibility**
Enterprise Information Services (EIS)	- Program quality assurance oversight - Reviews QA documents - Reviews quarterly QA reports - Participates in the Stage Gate review process - Takes direction from the State Chief Information Officer - Responsible for Stage Gate approval
State of Oregon Legislative Fiscal Office (LFO)	- Reviews key foundational documents - Reviews quarterly QA reports - Takes direction from the State Legislature - Reviews and makes recommendations to the Legislature, who has the budgetary authority, regarding funding and timing of funding of the program
Legal Sufficiency	- Business Transactions Section of DOJ's General Counsel Division represents the Department of Administrative Services (DAS) and provides legal sufficiency review and approval of contract documents for procurements which exceed $150,000 in value
Hittner & Associates (iQMS Vendor)	- Provides quality assurance oversight - Provides quarterly quality assurance reports - Provides independent reviews of program documentation and processes

7.3 Change Control

The governance structure for the program is based on coordination and increasing levels of decision-making authority. The levels of authority and their primary focus are illustrated below.

TABLE 3 FINANCIAL & CASE MANAGEMENT SYSTEM DECISION-MAKING AUTHORITY LEVELS

Level 5 – EIS/LFO Approves biennium budget requests (LFO) Issues Stage Gate approvals (EIS)
↑
Level 4 – ESC Approves change requests rated High s*ee Change Request Management Plan (CRMP) for details*
↑
Level 3 – Core Team Approves change requests rated Moderate *see CRMP for details* Reviews program status and plans
↑
Level 2 – IT Lead Project Manager Approves change requests rated Low *see CRMP for details* Monitors program schedule and milestone progress Coordinates cross-project communication and status and provides day-to-day program support
↑
Level 1 – Project Managers Approves change requests rated Very Low see CRMP for details Monitors individual project schedules and milestone progress

7.4 Roles and Responsibilities

This section outlines the various roles that will participate in the FCMS project, along with a general overview of their responsibilities. For more detailed information regarding responsibilities related to specific program activities, please reference the FCMS Project Management Plan and subsidiary plans.

TABLE 5 FINANCIAL & CASE MANAGEMENT SYSTEM PROJECT ROLES & RESPONSIBILITIES

Project Team
Executive Sponsor – Emese Perfecto
- Leads the Executive Steering Committee - Controls project funds and is the final decision maker - Champions the project internally and externally with overall accountability for the program - Reviews and approves final schedule baseline and schedule progress reports - Assists with written and visual branding of communications and documentation
Business Owner – Ernest Lannet
- Ensures the project delivers the agreed business benefits - Represents the interests of the business - Advocates for the program internally - Participates in Risk Management and Executive Steering Committee - Provides input, assessment, and review of the system solution - Key business partner in making project design decisions and removing obstacles
Chief Information Officer (CIO) – David Martin
- Provides technology management oversight to the project - Oversees IT department Project Managers and technical staff involved in the project
IT Project Manager Lead (PML) – Mary Knoblock
- Leads Project Team and is responsible for planning and executing the project - Oversees activities with contracted services - Works closely with PMs to support in project activities to ensure alignment with program strategy and objectives
IT Project Manager (IT PM) – Jennifer Sullivan
- Supports PML in program activities, including documentation, plan development, research, and risk and issue management - Maintains program logs and registers and assists with schedule review and maintenance - May be responsible for planning and executing a project within the project - Review, monitoring, and mitigation of risks to the project
Business Analyst (BAL) Lead – Lucy Edwards
- Leads BAs through requirements gathering process and ensures activities are being carried out as planned - Reviews requirements documentation
Business Analysts – Tracey Culbert
- Performs requirements gathering and documentation and business functional testing
Technical Lead – Mark Hicks
- Provides technical guidance to the project - Ensures deliverables meet OPDC technical requirements and standards - Oversees technical work
Systems Architect – Mark Hicks
- Analyzes program legacy and ancillary systems and technology environments to develop system relationship diagrams, technical requirements, and solution selection criteria
Organizational Change Manager – Moss Adams
- Assess organizational readiness - Prepares stakeholders for solution implementation and associated changes to business processes

- Assess progress and feedback from all divisions related to successful change adoption
Training Specialist – TBD Moss Adams
- Identifies training needs for IS and business staff - Develops training processes and plans in preparation for solution implementation
Contracts Analyst – Craig Johnsen
- Coordinates with the Oregon Enterprise Goods and Services, Procurements Services to acquire contractual services for the program. - Primarily responsible for reviewing, monitoring, and managing vendor contracts to ensure compliance
Business Team
Division Representatives – Kali Montague, Aaron Jeffers
- Represents the interests of their divisions - Participates in or provides Subject Matter Experts (SMEs) from their divisions to participate in requirements gathering and User Acceptance Testing (UAT) activities - Participates in Stakeholder Engagement Committee and approval of Business Requirements
Chief Financial Officer (CFO) – Ralph Amador
- Organize and develop budget documentation for the project - Communicate with Capital Finance on behalf of the program to obtain reimbursements for program budget expenditures

8.0 Key Stakeholders

The below table outlines the stakeholders likely to have the greatest impact and involvement in the program. For a complete list of individual stakeholders, please reference the FCMS Project Stakeholder Register.

TABLE 4 FINANCIAL & CASE MANAGEMENT SYSTEM KEY STAKEHOLDERS

Program Roles (as outlined in Section 7.1)	All project roles will participate in the project's work efforts and will commit varying amounts of time and energy to the success of the project.
Administrative Services Division (ASD)	Administers the operational and financial activities of the OPDC in areas such as Accounting and Purchasing that will be affected by the FCMS.
Appellate Division	The Appellate Division (AD) provides all appellate level representation to those eligible to receive public defense services and changes required by the FCMS in workflow practices can have a direct impact on case outcomes.
Commission	OPDC's goal is on the assurance that all eligible Oregonians have proper access to effective counsel and the Commissions' goal is to be achieved through the implementation of a Financial and Case Management System.
Compliance, Audit, and Performance (CAP) Division	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.
Executive Division	The Executive Division is responsibility for the agency's leadership and governance and has oversight over the performance of the agency and the state's public defense system that will be reflected within the new FCMS.
Partner Agencies	External portals and integrations will be updated as a result of FCMS and there may be significant changes to how partner agencies access information. Specific partner agencies will be identified during the requirements gathering process.
Public Defense Providers	Will experience significant workflow and business practice changes because of the Financial and Case Management System.

Subject Matter Experts (SMEs)[1] – Many *See Stakeholder Registry
- Participates in requirements gathering, testing, and training activities
User Testers[2] - TBD
- Participates in User Acceptance Testing activities to ensure business requirements are met
Super Users[2] - TBD
- Experts in the system and project for their role and division - Answers questions and supports end user peers during implementation and post go-live
End Users - OPDC
- Anyone who will use the solution being implemented (including external agencies and other stakeholders outside OPDC
Implementation Vendor - TBD
- Designs, integrates, develops, tests, and implements a solution that fulfills the program requirements and objectives
iQMS Vendor Team
Analysts – Hittner & Associates
- Coordinates with PML to ensure program is meeting quality guidelines and the appropriate documentation is created and managed effectively - Provides periodic audits of specified program deliverables, documentation, and processes

[1] SMEs will be documented in the Stakeholder Register.

[2] User Testers, and Super Users will be identified during the Execution phase of the Program and will likely contain SMEs from original requirements gathering activities.