ANALYSIS

Item 6: Public Defense Commission
Financial and Case Management System

Analyst: John Borden

Request: Acknowledge receipt of a report on the Financial and Case Management System.

Analysis: The budget report for SB 5506 (2023), the omnibus budget measure for the 2023 session, included the following budget note for the Public Defense Commission (PDC):

> The Public Defense Services Commission is directed to report to the Joint Legislative Committee on Information Management and Technology and the Joint Committee on Ways and Means prior to the 2024 legislative session on the status of the Financial/Case Management System (F/CMS) information technology project. The Commission's reports to the Legislature shall include: (a) updates on project scope, schedule, budget, and total cost of ownership; (b) current project risks, likely impacts, and mitigation strategies; (c) independent quality assurance reporting; (d) stakeholder/provider involvement in the planning and governance of the project; and (e) other information that helps inform the Legislature on the status of the project or issues that have arisen as the result of the project. The Commission is to follow the Joint Stage Gate or a similar disciplined process related to information technology projects, including development of key artifacts and independent quality assurance oversight.

Successive legislatures have emphasized a commitment to the modernization of PDC. The genesis of the budget note is related to the fact that a financial and case management system is seen as vital to providing PDC with a comprehensive information technology application to provide improved management, performance, oversight, and financial accountability over the state's public defense system. After reporting to 2024 Legislature, PDC was directed to report to the Emergency Board in May 2024 on the status of the project due to the uncertainty surrounding the project's scope, schedule, and budget.

Overview

The Financial and Case Management System (FCMS) objective is to acquire a cloud-hosted commercial-off-the-shelf (COTS) solution to replace, according to PDC, a "...series of in-house built Microsoft Access databases and Microsoft Excel spreadsheets to electronically manage business processes and store data." FCMS has four major components: case management, financial management, timekeeping, and reporting. FCMS is being designed to serve internal agency (including state attorneys and staff) and external providers at both the trial and appellate level with the objective to capture comprehensive data on public defense. An estimated 800 system requirements for FCMS development have been identified by the agency; however, the requirements are currently being reviewed by various stakeholder groups. Once acquired, FCMS will be externally hosted and maintained by the vendor, including the vendor's retention of sensitive case information. PDC's plan is to migrate existing data into the new system. FCMS will not have the ability to electronically file circuit or appellate court documents into the Judicial Department's eCourt or the Appellate Case Management System.

Implementation of FCMS was thought to be a singular event; however, PDC has recently informed the

Legislative Fiscal Office (LFO) that the project will be implemented in three stages: (1) financial management for all users, including the mandatory use by providers; (2) case management, for only state employees; and (3) case management for all users, including the mandatory use by providers. While a phased implementation plan typically reduces project risk, detail for such a plan is not yet included in any of the agency's reporting and no associated timeframes are available for such a phased/scheduled release. In addition, PDC reports makes no reference as to whether FCMS will be first implemented as a "minimum viable product" or whether the vendor's product will be fully configured to the maximum extent allowable and then deployed.

FCMS has an estimated total cost of $11.1 million General Fund over the 2023-25 ($7.2 million) and the 2025-27 biennium ($3.9 million). This figure includes a 10% project contingency ($1 million). These costs exclude expenditures incurred prior to the 2023-25 biennium (itemized below) that are associated with prior attempts to complete FCMS. Once acquired, FCMS external hosted and maintenance costs are estimated to be $100,000 per biennium. PDC qualifies these estimates by noting that "The previously reported total cost of ownership has not significantly changed from the initial estimates from the submitted business case. Since neither a request for information (RFI) or request for proposal (RFP) have been solicited, it remains premature to change any of the initial estimates." To-date, PDC reports spending $824,758 General Fund on the project for both the 2021-23 ($423,023) and the 2023-25 biennium ($401,735) with actual expenditures for the 2023-25 biennium being reported as of March 2024.

History

FCMS' history dates to the 2017-19 biennium when the legislature provided $2 million of General Fund to begin the project. However, PDC (then the Public Defense Services Commission) was only able to make negligible progress to warrant additional funding. The 2021 Legislature expressed doubt in PDC's ability to undertake any further efforts after the agency had disbanded its Information Technology Section (ITS) and the agency possessed no internal IT staff to manage or oversee such an effort. The 2021 Legislature reestablished ITS as a predicate for PDC to move forward with the FCMS project. The 2022 Legislature provided $743,588 General Fund and authorized the establishment of two positions (1.26 FTE) for the re-initiation of the planning phase of the FCMS. Subsequently, at the request the agency, $475,000 General Fund was rebalanced to resolve deficit spending in the Parent Child Representation Program and the unrepresented defendant/persons crisis (HB 5045, 2023).

The 2023 Legislature provided $7.9 million General Fund and five limited duration positions (5.00 FTE) to restart FCMS. However, in December of 2023, PDC placed the project on "pause" after the retirement of agency's Chief Information Officer (CIO), virtually a 100% turnover in project staff, multiple changes in the membership of governance bodies for the project, and a less-than-favorable third-party assessment of the agency's Request for Proposals (RFP) that identified major deficiencies in the RFP, which triggered the need for "...conducting a comprehensive process mapping of requirements to better define priorities," according to a memorandum received by the Legislative Fiscal Office announcing the project's pause. PDC lifted the pause in February 2024 and recommenced FCMS after the agency hired a new CIO. There has now been a 100% turnover in FCMS staff with PDC reporting that all funded positions have now been filled.

PDC's transition planning is further complicated by the agency's efforts to complete the FCMS solution vendor procurement, prior to January 1, 2025, as at that time the project would fall under the statutory oversight authority of the State Chief Information Officer (ORS 276A.206). An additional consideration is that PDC financial management activities are supported by the Judicial Department (e.g., accounts

payable), which is slated to terminate on June 30, 2025.

PDC is also under self-imposed pressure to have FCMS operationalized by the start of the 2025-27 biennium contract cycle for which the agency will require FCMS to meet a new and materially different set of contract requirements (i.e., workload model).

Stage Gate Process

PDC has been statutorily exempt from many common statutes governing operations that apply to executive branch agencies, such as information technology, procurement, and personnel services. Under SB 337 (2023), however, and the transition of PDC from the judicial branch to the executive branch of government on January 1, 2025, PDC will become subject to the statutory requirements of executive branch and the oversight of the State Chief Information Officer for information technology (provisions within ORS 276A) and the Department of Administrative Services for procurement (provisions within ORS 279A - ORS 279B).

Under the current or pre-SB 337 statutory construct, the oversight responsibility for PDC fell exclusively to the Legislature. Through various budget notes, PDC has been directed to follow the Joint Stage Gate or a similar disciplined process related to information technology projects, including development of key artifacts. PDC has been partnering with the Department of Administrative Services - Office of Enterprise Information Services for project support. This voluntary collaborative, for which both agencies should be commended, has proven to be instrumental in advancing the project post-"pause." LFO - Information Technology is conducting Stage Gate review of FCMS project artifacts as well as conducting oversight of the project. FCMS reports being at Stage Gate 1 (Initiation) with only a charter and business case being submitted and under review by external oversight. Stage Gate 2 (Planning) and Stage Gate 3 (Execution) have yet-to-be initiated, including a readiness assessment to proceed. To-date, LFO has not yet recommended the project be authorized to move beyond Stage Gate 1.

Independent Quality Management

As required by ORS 276A.223, FCMS is being overseen by an independent quality management services vendor (IQMS). As of April 16, 2024, IQMS categorizes the overall project health as having a "Medium" risk profile ("Yellow"); however, the schedule is categorized as "high risk" ("Red") because no project schedule is in place. Both scope and budget are categorized as having a "Medium" risk profile while noting that "It is difficult to assess the exact cost of an implementation and ongoing hosting services until proposals are received from vendors." IQMS also noted "...some concern with the depth at which requirements were reviewed in 2023 and the breadth of external users who reviewed them and how useful those review periods have been." IQMS categorized requirements as "high risk" ("Red") until a thorough re-review is completed.

Of final note is that many FCMS foundational documents have yet-to-be prepared and therefore few quality assurance reports have been completed. The initial project risk assessment was completed in January 2023 with the latest update undertaken in November 2023 (released in March 2024) and identified 12 risks that are being monitored on an ongoing basis.

The IQMS report notes the restarting of the project's governance, the hiring of a Project Manager in February 2024, as well as the hiring of new Business Analysts in April 2024, and that a procurement contract vendor has been identified (subsequently procured on May 8, 2024). IQMS further states that "This is OPDC's first real foray into formal project management so there is naturally some resistance to formal project methodology and thus that affects the PM's full authority. However, as the last year has

transpired the agency has become more familiar with standard project management practices."

PDC's *FCMS OPDC Project Status Report* for May 9, 2024, list only three risks to the project: (1) time to obtain RFP vender contract; (2) DAS IT Procurement Resource; and (3) EIS "Custom" Stage review process DAS for judicial to executive transition. According to the report, DAS-Enterprise Information Services "...has concerns of Stage Gate process for judicial to executive [transition]."

Analysis

The scope, schedule, and cost of FCMS continues to remain indeterminate, as the project's scope has not been fully ascertained (e.g., requirements fully completed), a comprehensive schedule has yet-to-be completed, and the total cost of ownership will remain indeterminate until solution vendor proposals are received, and a contract executed.

PDC has placed FCMS on an expedited timeline, which calls for the project team to finalize requirements gathering, complete outstanding foundational documentation, including IQMS quality control reviews, receive Stage Gate approvals, draft and release an RFP, with the goal of awarding a contract in October 2024 and onboarding the vendor by January 2025. The FCMS procurement will be overseen by the contractor hired to assist PDC. FCMS will have had completed no overall readiness assessment prior to undertaking the RFP. FCMS is dependent upon the operationalization of PDC's Information Technology Section, which is in the process of rebuilding and managing competing demands (Emergency Board Item #11).

After FCMS is procured, and the solution vendor onboarded, PDC will need to re-baseline/confirm the FCMS scope, schedule, and budget and subsequently enter an extensive period of system configuration, testing, data conversion, completing interfaces with other information technology systems, developing reports, and conducting both internal and external user trainings, among numerous other tasks. During this period, public defense providers, many of which have existing financial and case management systems, will be required to transition to FCMS. These activities will all need to be aligned with the agency's 2025-27 contract requirements and completed by no later than July 1, 2025, or within five months after the onboarding of the FCMS vendor. Stakeholder participation in FCMS is critical to the success of the project but the process for effective stakeholder engagement has not yet been defined.

While FCMS has made progress since reporting to the 2024 Legislature, such an aggressive project timeline is of high risk for even a small-scale information technology project let alone one with many competing demands that compound the project's overall risk profile. While PDC does require a modern information technology backbone, public defense providers, the executive branch, and the state, may be better served if PDC were to pursue a slower, more deliberative approach to minimize the risk of failure (or failure to meet expectations) of FCMS and avoid any potential adverse impact to an already fragile public defense system. Such a decision, however, resides with the Public Defense Commission up until December 31, 2024, at which point FCMS becomes subject to the oversight authority of the executive branch. Alternatively, a new financial and case management system, if successfully acquired and deployed, could have a demonstrable positive impact on the agency and the provisioning of public defense.

Recommendation: The Legislative Fiscal Office recommends that the Emergency Board acknowledge receipt of the report with instruction that the Public Defense Commission report to the Emergency Board in September 2024 with a comprehensive status report on the Financial and Case Management System.

Request: Report on the Oregon Public Defense Commission's Financial and Case Management System (FCMS) status per a budget note included in the budget report for Senate Bill 5506 (2023).

Recommendation: The Oregon Public Defense Commission is not under Executive Branch budgetary authority.

Discussion: This report is in response to the budget note provided in the budget report for Senate Bill 5506 (2023):

> Budget Note:
> FCMS Report: The Public Defense Services Commission is directed to report to the Joint Legislative Committee on Information Management and Technology and the Joint Committee on Ways and Means prior to the 2024 legislative session on the status of the Financial/Case Management System (F/CMS) information technology project. The Commission's reports to the Legislature shall include:
>
> (a) updates on project scope, schedule, budget, and total cost of ownership;
>
> (b) current project risks, likely impacts, and mitigation strategies;
>
> (c) independent quality assurance reporting;
>
> (d) stakeholder/provider involvement in the planning and governance of the project; and
>
> (e) other information that helps inform the Legislature on the status of the project or issues that have arisen as the result of the project.

Through F/CMS, the agency aims to replace outdated systems with a cloud-hosted solution to improve transparency and efficiency in its operations. The system includes financial management, case management, attorney qualifications, and reporting capabilities. While the project was on hold from November 2023 to January 2024 due primarily to personnel issues, it was able to resume in February 2024. The projected completion date is July 1, 2025. The operating budget remains within its appropriation, with expenditures for quality assurance, personnel, and the consultant for the Request for Proposal (RFP) development. The proposed total cost of ownership is estimated at $11,117,416, which includes some contingency costs.

Identified risks to the project include competing priorities with key legislation and the potential impact on resources. Mitigation strategies involve coordination and ensuring the project remains a top priority. The agency has contracted with Hittner & Associates to be the Quality Assurance vendor, who have rated the project health as having a Medium Risk profile as of April 16, 2024. While their assessment is trending positive

due to the hiring of a CIO and project managers, the vendor ranks schedule risks as high.

OPDC reports that stakeholder interest groups have been formed, and the overall the project has benefited from an identifiable Stakeholder Committee and a reformed Governance Committee. Stakeholders include OPDC cross-divisional staff, contracted partners, the Oregon Judicial Department, and others. The report also includes detailed plans for the next 30/60/90 days, high-level milestones, RFP progress, and appendices with status reports and project documents. The project emphasizes the importance of structured processes and stakeholder engagement for successful implementation.

Oregon

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April 29, 2024

Senator Rob Wagner, Co-Chair
Representative Julie Fahey, Co-Chair
State Emergency Board
900 Court Street NE
H-178 State Capitol
Salem, OR 97301

Dear Co-Chairs:

Nature of the Request

The Oregon Public Defense Commission (OPDC) requests that the committee accept the report attached hereto about the Financial/Case Management System project. This report is in response to the budget note provided in the budget report and measure summary to Senate Bill 5506 (2023):

> FCMS Report: The Public Defense Services Commission is directed to report to the Joint Legislative Committee on Information Management and Technology and the Joint Committee on Ways and Means prior to the 2024 legislative session on the status of the Financial/Case Management System (F/CMS) information technology project. The Commission's reports to the Legislature shall include:
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> (a) updates on project scope, schedule, budget, and total cost of ownership;
> (b) current project risks, likely impacts, and mitigation strategies;
> (c) independent quality assurance reporting;
> (d) stakeholder/provider involvement in the planning and governance of the project; and
> (e) other information that helps inform the Legislature on the status of the project or issues that have arisen as the result of the project.

The Commission is to follow the Joint Stage Gate or a similar disciplined process related to information technology projects, including development of key artifacts and independent quality assurance oversight.

Agency Action

OPDC submitted a report pursuant to the above budget note in January 2024. During the 2024 Legislative Session, OPDC was directed to report to the Emergency Board in May 2024 on the status of the Financial Case Management System (FCMS).

The following report outlines the work and the progress to date by OPDC on this project. The success of this project will help the agency work towards a unified goal: to restore credibility in the Commission as an efficient and effective administrator of Oregon's public defense system by stabilizing administration to fulfill OPDC's mission to ensure constitutionally competent and effective legal representation for persons eligible for a public defender.

The following report is responsive to this budget note. This report was approved at the OPDC meeting on April 17, 2024.

Action Requested

The Oregon Public Defense Commission requests acknowledgment and receipt of the attached report.

Legislation Affected

No legislation is affected.

Sincerely,

Jessica Kampfe
Executive Director

cc:
Amanda Beitel, Legislative Fiscal Officer
John Borden, Principal Legislative Analyst, LFO
Kate Nass, Chief Financial Officer
Zack Gehringer, Policy and Budget Analyst, CFO

Oregon Public Defense Commission

FINANCIAL CASE MANAGEMENT SYSTEM STATUS REPORT

April 22, 2024

NATURE OF THE REPORT

The budget report for SB 5506 (2023), the omnibus budget measure, included the following budget note for the Public Defense Commission (OPDC):

> The Public Defense Services Commission is directed to report to the Joint Legislative Committee on Information Management and Technology and the Joint Committee on Ways and Means before the 2024 Legislative session on the status of the Financial/Case Management System (FCMS) information technology project. The Commission's reports to the Legislature shall include (a) updates on project scope, schedule, budget, and total cost of ownership; (b) current project risks, likely impacts, and mitigation strategies; (c) independent quality assurance reporting; (d) stakeholder/provider involvement in the planning and governance of the project; and (e) other information that helps inform the Legislature on the status of the project or issues that have arisen as the result of the project. The Commission is to follow the Joint Stage Gate, or a similar disciplined process related to information technology projects, including development of key artifacts and independent quality assurance oversight.

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The following report is responsive to this budget note. This report was approved at the OPDC meeting on April 17, 2024.

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EXECUTIVE SUMMARY

The Oregon Public Defense Commission (OPDC) aims to replace its outdated financial and case management tools with a Commercial Off-the-Shelf (COTS) integrated technical solution known as the Financial Case Management System (FCMS). This system is designed to automate data entry, provide consistent data collection, and leverage vendor-sponsored enhancements. The need for this upgrade stems from the limitations of the existing in-house systems and the agency's commitment to enhancing transparency and efficiency in its operations.

The FCMS project faced a brief hold from November 2023 to January 2024 but was restarted in February 2024. The agency worked closely with the Department of Administrative Services Enterprise Information Services (DAS EIS) to secure experienced contracted resources and create a strategy to minimize further delays.

A new Chief Information Officer (CIO) began in February, and a new Project Manager (PM) started work in mid-February, focused on the FCMS Project. As of April 16, a procurement contractor has been identified and will soon begin assisting the FCMS Project. Two business analyst positions will also be filled; one has been hired, and work on the other continues.

Request for Proposal (RFP) requirement review sessions have begun within the finance, legal, data, and IT domains. The project now benefits from an identifiable Stakeholder Committee and a reformed Governance Committee, which help it advance quickly. The project's Governance Committee has been restructured, with OPDC's Deputy Director becoming the executive sponsor.

OPDC has collaborated with subject matter experts in legal and financial domains, refining FCMS's business requirements to ensure compliance and integrity. The involvement of these experts strengthens the system and aligns it with stakeholders' diverse needs. The project schedule, including over 400 tasks in the initiation and planning phase, has been drafted and is subject to revision when a vendor is selected. An interim schedule is in place due to EIS requirements. The FCMS Project Charter (see appendix FCMS Project Charter) has been thoroughly updated to align with DAS standards and governance oversight objectives. Stakeholders are reviewing the project charter, which will be updated and put in place in time to provide to prospective FCMS vendors as part of the upcoming RFP.

As of April 16, 2024, Hittner & Associates, the project's contracted quality assurance vendor, rates the overall project health as having a Medium Risk profile. Due to some significant developments around resources in early April, Hittner extended its evaluation period from March 31 to April 16.

The primary project activity currently involves reviewing FCMS requirements. The Project has defined requirements, which are being revisited before releasing an RFP, RFQ, or RFI to potential vendors for a COTS solution that would best satisfy the requirements and serve all stakeholders. The chosen vendor would host the solution. Some potential vendors were brought into OPDC in January 2024 to show their solutions and allow stakeholders to ask questions of the vendors.

As this review of requirements progresses, the Project Team must assemble a procurement schedule from the ground up and ensure that it includes all procurement tasks, their durations, and the resources assigned to each task. The detailed schedule should then be communicated to all stakeholders who have a role in the procurement phase.

Hittner & Associates has identified a potential risk of OPDC having many competing priorities. Key legislation passed (SB 337 and SB 5506) in the 2023 Legislative session includes direction for OPDC to become part of the Executive Branch and establish state trial offices. While not directly affecting the project in the near term, this activity could indirectly impact the project by taking resource time away from project activities to focus on transition activities. Coordination with the FCMS Project is essential as some resources (particularly technical support) may be asked to work on both activities.

The FCMS project is experiencing new momentum. The executive and governance teams are dedicated to making FCMS the commission's top priority, recognizing its gravity and importance for public service and fund stewardship.

SCOPE, SCHEDULE, BUDGET & TOTAL COST OF OWNERSHIP

This project aims to replace OPDC's end-of-life, in-house-built database structure with a cloud-hosted Commercial-off-the-shelf (COTS) financial and case management system. OPDC is lacking a solution that provides timely payments to the contract/provider community and can capture comprehensive data on public defense.

OPDC has adopted the following guiding principles for developing and implementing the FCMS solution.

1. Be guided by mission and vision. Ensure that eligible individuals have timely access to legal services consistent with Oregon and national standards of justice and maintain a sustainable statewide public defense system that provides quality representation to eligible clients in trial and appellate court proceedings.
2. Subject to #1 above, system business processes will be the first consideration. Customization will only occur if required by the law.
3. Organizational change management (OCM) is critical to success and requires ongoing investment.
4. Rapidly providing quality products to internal and external customers is critical to the solution's success.
5. Timely unified decisions must be made to implement a uniform solution.
6. Learning and understanding the product before configuration is imperative.
7. Configuration team membership requires broad representation, and participants must allocate much concentrated time.
8. The perspective for implementation should be from the "outside-in" to streamline customer interactions.
9. The vendor has significant expertise, and their advice should be carefully considered.
10. The system is a business reengineering tool that supports the OPDC mission, vision, and infrastructure needs; therefore, the program falls within the overall OPDC governance structure to ensure OPDC policy and practice unity.
11. Communication with the vendor should be clear, consistent, uniform, and only as provided in the contract provisions.

With the successful implementation of a FCMS solution, OPDC will meet Oregon's public defense needs with the following system capabilities:

- 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 a high-level 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 OPDC for the first time with modern operational capabilities. FCMS will also allow the OPDC to produce detailed and structured reports as requested by the Legislature and stakeholders. OPDC desires a transparent and effective public defense model starting with modernizing operational technologies.

PROJECT SCOPE

The project's scope serves as a baseline definition for the FCMS project. All project work should occur within the framework of the project scope and directly support the project outcomes. The governance team is currently reviewing the scope in the updated Project Charter. The scope includes the whole solution for the FCMS system, including case management. The scope, in conjunction with the business case (see appendix OPDC FCMS Business Case), defines the following:

- Scope description
- High-level project requirements
- Project strategy
- Project constraints
- Project assumptions

The project governance committee must approve any changes to the scope. This project's projected completion date is July 1, 2025.

IN SCOPE

- Procure a new integrated FCMS.
- Procure associated hardware to support FCMS.
- System able to ingest large amounts of external data.
- Data share agreement with Oregon Judicial Department (OJD).
- Data shared with the Department of Administrative Services (DAS) R*STARS system for vendor payments.
- Change management (i.e., communication; prepare for, manage, reinforce change).
- Project management for FCMS.
- FCMS business processes documentation (i.e., "as is"; "to be").
- 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 throughout the project).
- End user training of the FCMS for OPDC and providers.
- External quality assurance engagement.
- Robust internal/external project communication.
- Regular project reports to the Legislative Fiscal Office (LFO).

- Maintain current technical tools (i.e., databases and spreadsheets) with limited or no changes until FCMS becomes operational.
- Configuration management process.
- Engaged governance structure (i.e., steering committee; executive sponsors).
- FCMS will be accessible to authorized internal and external users.
- FCMS stakeholder engagement.
- Internal email / instant messages for communications within FCMS.
- Integration with Microsoft communication systems and FCMS.
- Review all duplicated forms and ancillary systems for in-scope work and deprecation for future phases.
- Payments to vendors. (new)
- Definition of case management standards.
- Develop and negotiate new contracts with providers.
- Management of the legal contractual dynamic between OPDC and vendors.
- System determination of attorney qualifications on case assignments.
- FCMS system will not analyze outcomes of collected data.
- Non-FCMS-related stakeholder engagement.
- Identification of contract rates for providers.
- A completely automated vendor payment system.

OUT OF SCOPE

- Ability to electronically file circuit or appellate court documents directly from FCMS.
- OPDC can maintain a vendor or migrate to an employment relationship when indigent defense is provided.
- From an agency management perspective: system-generated budget projections, payroll management, supply procurement, and personnel management.
- Prepare and present legislative concepts not related to FCMS.
- Policy-related provisions for public defense services.
- Client satisfaction of legal representation.
- The FCMS system is based on artificial intelligence (e.g., it 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 procuring, configuring, and deploying a new FCMS.

BUDGET

Through the fiscal month ending November 2023, the FCMS operating budget remains primarily within its lawful appropriation. A new resource plan (see Figure 1) will coincide with fluctuations in the operating budget. Three of the five project positions are hired by the resource plan. The only project-associated expenditures are for the quality assurance vendor, personnel costs, and the consultant who helped the project team develop a prospective RFP.

FCMS Operating Budget				
	Budget	Year 1 Actuals	Year 2 Actuals	Variance
Personal Services Total	**1,246,630**	**252,313**	**-**	**-994,317**
Administrative Services and Supplies Total	**151,940**	**5,757**	**-**	**-146,183**
Project Cost 23-25 Total	**5,933,925**	**65,295**	**-**	**-5,868,630**

Contingency 10% of cost	**686,730**	**-**	**-**	**-686,730**
Project Total Costs	**8,019,225**	**323,366**	**0**	**-7,695,859**

Total FCMS Costs as of 3/21/2024

Row Labels	Sum of Sfms Trans Amt
⊟2023	
⊟ASD - FINANCIAL/CASE MANAGEMENT SYSTEM	
⊞PERSONAL SERVICES	$ 357,355.68
⊞SERVICES AND SUPPLIES	$ 65,667.40
⊟2025	
⊟ASD - FINANCIAL/CASE MANAGEMENT SYSTEM	
⊞PERSONAL SERVICES	$ 312,686.67
⊞SERVICES AND SUPPLIES	$ 89,048.56
Grand Total	**$ 824,758.31**

Updated financials as of 3/21/2024

FCMS PROPOSED TOTAL COST OF OWNERSHIP

Item	July 2023 June 2024	July 2024 June 2025	Biennium 2023/25	July 2025 June 2026	July 2026 June 2027	Biennium 2025/27	**TOTAL**
Core Case Management System (CMS) – Vendor	$504,400	$504,400	$1,008,800	$504,000	$504,000	$1,008,000	$2,016,800
Implementation	$75,000	$75,000	$150,000	$20,000	$10,000	$30,000	$180,000
Data Migration	$50,000	$50,000	$100,000	$10,000	$10,000	$20,000	$120,000
Hosting & Support	$50,000	$50,000	$100,000	$50,000	$50,000	$100,000	$200,000
Project Management Vendor	$151,938	$151,938	$303,876	$151,938	$151,938	$303,876	$607,752

System Architecture	$321,550	$321,550	$643,100	-	-	$-	$643,100
Report Management Configuration/Customization – Vendor RSTARS	$155,325	$155,325	$310,650	-	-	$-	$310,650
Network Infrastructure	$68,150	$68,150	$136,300	-	-	$-	$136,300
Possible Integration Work	$272,500	$272,500	$545,000	$40,000	$15,000	$55,000	$600,000
OPDC Hardware (New Requirements/Lifecycle)	$50,000	$50,000	$100,000	$50,000	$50,000	$100,000	$200,000
QA Vendor	$375,000	$375,000	$750,000	$50,000	$25,000	$75,000	$825,000
Technical Team – OPDC (2-OPA3 / 1-ITS 4 / 2 OPA 2)	$699,285	$699,285	$1,398,570	$699,285	$699,285	$1,398,570	$2,797,140
Training – Vendor/OPDC	$200,000	$200,000	$400,000	$30,000	$10,000	$40,000	$440,000
Travel – Vendor/OPDC	$50,000	$50,000	$100,000	$5,000	$5,000	$10,000	$110,000
Overhead - $30k/year	$30,000	$30,000	$60,000	$30,000	$30,000	$60,000	$120,000
Change Management Vendor (Project and Organization)	$200,000	$200,000	$400,000	$200,000	$200,000	$400,000	$800,000
Total All Funds	$3,253,148	$3,253,148	$6,506,296	$1,840,223	$1,760,223	$3,600,446	$10,106,742
Contingency – 10% of project costs			*$650,630*			*$360,045*	$1,010,674
Total Funds with Contingency			*$7,156,926*			*$3,960,491*	*$11,117,416*

The proposed total cost of ownership has not significantly changed from the initial estimates of the submitted business case. Since neither the RFI nor the RFP has been solicited, it remains premature to change any initial projections. Beyond the completion date of the project and the warranty period, it is reasonable to assume that there will be ongoing costs associated with the solution, such as periodic maintenance and operation costs. The OPDC should assume that regular system updates and future upgrades will be needed to keep the system compliant, secure, and versatile. The OPDC can also assume that there will be a permanent need for a system architect, business analysts, and other technical staff to maintain the system and support all users internally and externally. Once a vendor is selected, the OPDC can provide an updated total cost of ownership.

FCMS & Transition

Labor Timeline

- April Hires
- July Hires

Order	FCMS Contractor Position
1	Business Analyst
2	Business Analyst
3	Project Manager

Order	FCMS Staff Position
4	Project Manager (OPA3)
5	Business Analyst (OPA2)
6	Business Analyst (OPA2)
7	Project Manager (OPA3)

Order	FCMS Contractor Position
A	M365 Administrator (ITS4)
B	Server Administrator (ITS4)
C	Mobile Device (ITS3)
D	Web Integration (ITS3)

Order	FCMS Staff Position
E	Desktop Support (ITS2)
F	Chief Data Officer (MGR3)
G	Helpdesk (ITS1)
H	Web (ITS3)

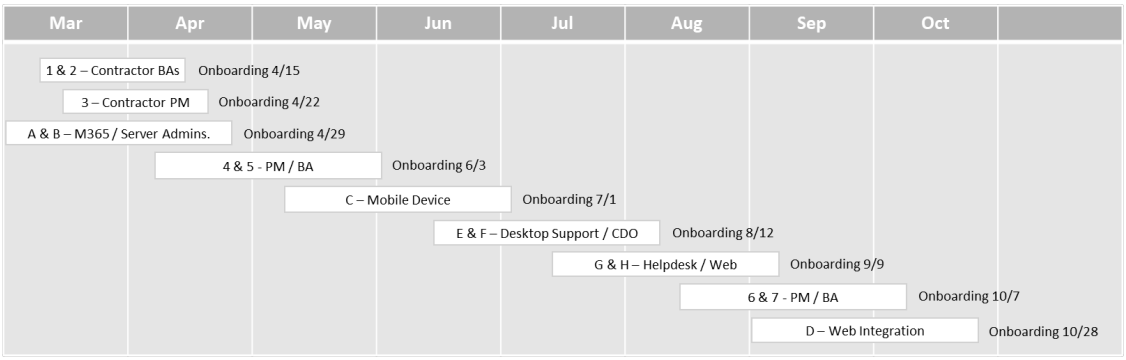


Figure 1: This labor timeline includes the transition project as well.

INDEPENDENT QUALITY ASSURANCE REPORTING

OPDC has secured a contract with Hittner and Associates (Hittner) to perform the role of independent quality assurance. The full periodic quality status report (PQSR) for February and April 2024 is attached in this document's appendix (See appendix Hittner Quarterly Quality Status Report).

As of February 2024, Hittner & Associates rates the overall project health as having a Medium-High Risk profile but trending more positively due to filling the agency's Chief Information Officer (CIO) position and hiring a project manager. Procurement activities were paused in December as the project looked to reset due to questions on the quality of the draft RFP created to procure a FCMS solution and vendor and significant changes to the Project team makeup. Procurement activities have restarted as of the end of February.

As of April 16, 2024, Hittner & Associates rates the overall project health as having a Medium Risk profile. Due to some significant developments around resources in early April, Hittner extended its evaluation period from March 31 to April 16.

The primary project activity currently involves reviewing FCMS requirements. The Project has defined requirements, which are being revisited before releasing an RFP, RFQ, or RFI to potential vendors for a COTS solution that would best satisfy the requirements and serve all stakeholders. The chosen vendor would host the solution.

RISKS

The most current risks identified and rated by Hittner are included in a comprehensive rated report (see appendix Hittner FCMS Project Risk Report April 2024). See below for the overall current Project Status rating for FCMS by Hittner & Associates.

Project Status & Risk Rating	Risk Rating
Project Health	**Medium**
Budget	**Medium**
Schedule	**Medium - High**
Scope/Quality	**Medium**
Resources	**Med**

ASSUMPTIONS

All stakeholders must be mindful of the assumptions identified for the FCMS Project as they introduce some risks 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:

- FCMS is the official system for OPDC staff and contracted providers.
- Sufficient staff from OPDC, OJD, and the selected vendor are available to support the FCMS project fully.

- Decisions are made promptly by the Executive Leadership Team.
- The Project Team has the authority to approve deliverables for the project.
- Technology complies with information security standards adopted by OPDC, OJD, and DAS
- The Operational Leadership Team will assist in the review of formal project documentation.
- OPDC, OJD, and the selected vendor assist in coordinating interface testing efforts with stakeholders.
- OPDC, OJD, and Steering Committee participate in FCMS User Acceptance Testing.
- OPDC team members respond promptly to FCMS correspondence requests, participate in FCMS training, and actively engage in Go-Live activities.
- The Steering Committee responds promptly to FCMS correspondence requests, participates in FCMS training, and engages in Go-Live activities.
- Oregon Legislature funds the project.
- External providers must use the FCMS if possible.

CONSTRAINTS

Considerations must be made for the identified constraints of the FCMS 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 for financial management, contract administration, and case data tracking is established.
- Staffing availability at both OPDC and OJD.
- Hybrid Work Approach—The project must work with various stakeholders across multiple hybrid schedules, utilizing MS Teams in person and remotely, the Hood Conference Room at OPDC, and limited in-person meeting space.

EXTERNAL DEPENDENCIES

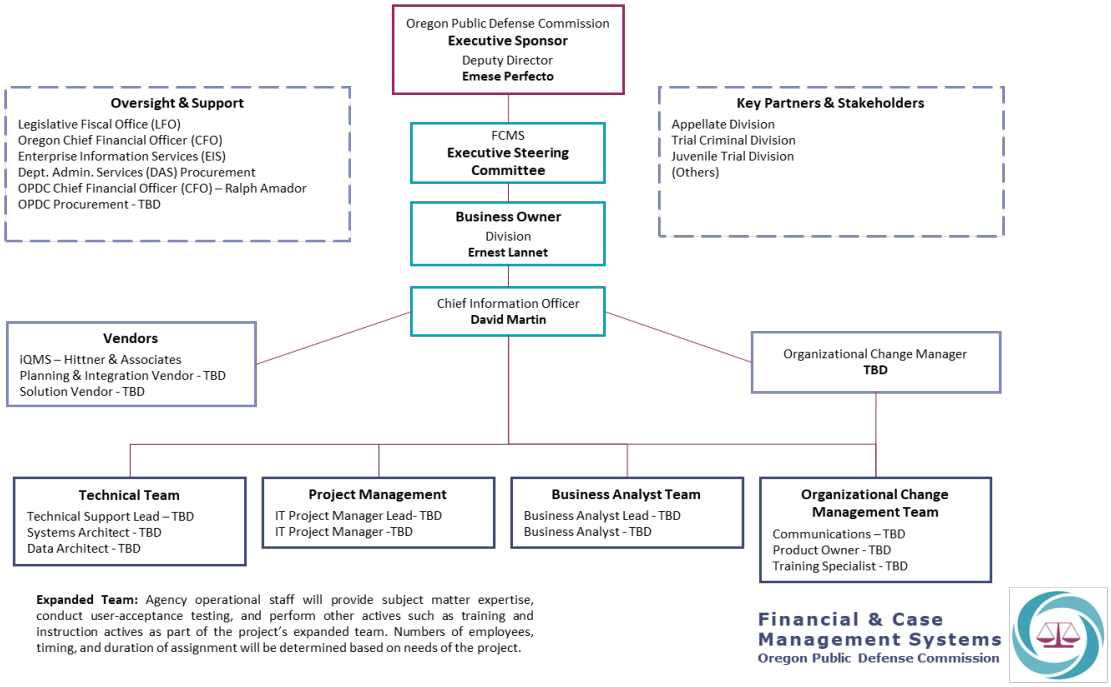
Project Dependencies are as follows:

- Contract continuation with Oregon Judicial Department for IT and Project Support.
- Legislative funding support for project implementation.
- Planned for Release date in December 2024.
- Will utilize DAS IT EIS resources and DOJ Procurement Resources.

GOVERNANCE AND STAKEHOLDERS

Financial & Case Management System

Project Organizational Chart



STAKEHOLDER INTEREST GROUPS

Stakeholder Interest Groups will be formed to raise internal and external awareness of Oregon public defense needs and standards and assist with system requirements. These groups' members are non-voting but represented by the project Steering Committee.

EXTERNAL INTERFACE

OPDC maintains a close working relationship with contracted public defense providers statewide. In addition to working with providers, the agency directly reports to several committees within the Oregon Legislature. Although recipients of public defense services are a high priority to the agency, they are not direct stakeholders in the FCMS project. Public defense providers will be direct recipients of the FCMS, equipping them with modern technological tools that will support their practice and the services provided.

The FCMS project will also incorporate external support from a contracted quality assurance provider and a system vendor. These external interfaces will help ensure that a quality product is implemented and meets the requirements defined in the project scope documentation and the requirements traceability matrix. The system vendor must supply their project manager to assist with product implementation.

INTERNAL STRUCTURE

Project Management (PM) is a new concept and function within OPDC. The agency is quickly learning the relevancy and importance of structured processes for successful project implementation. Since OPDC's utilization of PM principles regarding organizational advancement is in its infancy, the structure of the project organization is less conventional than desired. The project team will direct all project activities and decisions to the Governance Committee for final approvals, the Steering Committee for guidance and working knowledge, the QA vendor to support risk analysis, and the System vendor to assist with implementing the final product.

The FCMS Project will utilize two main internal structures to support its implementation: Project Management and a Project Team. Below are activities that each structure will perform throughout the project.

The FCMS Project Management Roles and Responsibilities

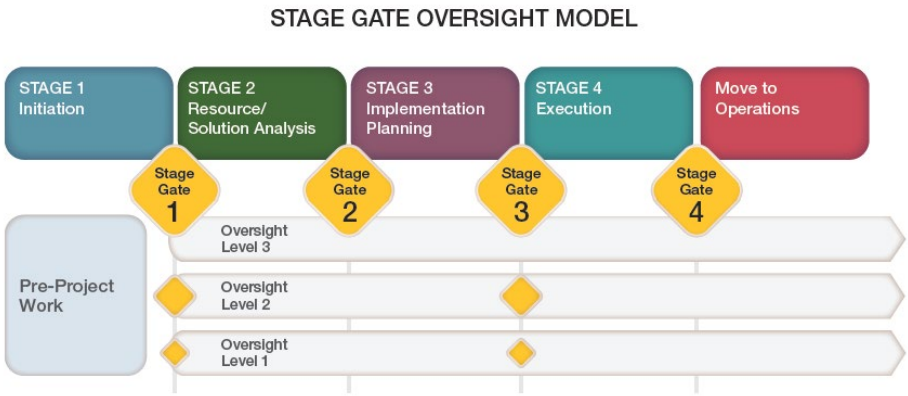
- Planning and Defining Scope
- Activity Planning and Sequencing
- Planning Resources
- Developing Schedules
- Monitoring/Risk Analysis
- Time Estimation
- Cost Estimation
- Developing a Budget
- Documentation/Reporting
- Working with users to establish and meet business needs.
- Documenting the process

The FCMS Project Team Roles and Responsibilities

- Contributing to overall project objectives
- Completing individual deliverables
- Providing expertise and knowledge

ROLES AND RESPONSIBILITIES

The FCMS project will utilize Oregon's DAS EIS Stage-Gate Process, which is divided into four stages and built from the Project Management Body of Knowledge (PMBOK) methodology.



To implement the FCMS project, many bodies of work must be completed, requiring multiple internal and external resources. The following matrix expresses the exact nature of the roles and responsibilities of internal and external resources for this project.

	Project Management	Project Team	Quality Assurance	System Vendor
Initiation				
Business Case	X			
Initial Complexity Assessment	X			
Charter	X			
RFP Documents	X	X	X	
Resource & Solution Analysis & Planning				
Project Management Plan	X			
RFP/Contractor SOW (Project Management, Business Analyst, Independent Quality Assurance)	X			
Market Research	X			
Fit Gap Analysis	X		X	
Solution Analysis	X			
Project Risk and Issue Log	X			
Stakeholder Registry	X			
RACI	X			
Scope	X	X		
Schedule	X			
Budget	X	X		
System Security Plan	X			
Cloud Workbook	X			
Requirements	X	X		
Organizational Change Management Plan	X			
Project Status Reports	X			
Independent QA Deliverables			X	
Implementation Planning				
RFP/Contractor SOW (software, hardware, development, configuration	X			

Baseline Project Management Plan	X			X
Baseline Scope	X			X
Baseline Schedule	X			X
Benefits Management Plan	X			X
Requirements Traceability Matrix	X	X		X
Cloud Workbook	X			X
LFO Readiness Assessment	X			X
Execution & Move to Operations				
Executed Contracts & Amendments	X		X	
Test Plan	X		X	X
System Security Plan	X		X	X
Updated Project Management Documents	X		X	
Independent QA/QC Deliverables	X		X	
Quarterly Quality Management Reports	X		X	
Data Dictionary	X			
Disaster Recovery Plan	X		X	
Operations and Maintenance Plan	X		X	
Lessons Learned/Project Close-Out Reports	X	X	X	

STATUS REPORTS

FCMS has sent stakeholders regular communication and project status reports weekly since the project's Kick-Off in February. Below is an example of those status updates (see appendix FCMS OPDC Project Status Updates and FCMS Project OPDC Stakeholders Bi-Weekly Meeting Agendas).

March 22nd Project Status Report High-Level Milestones	**Status**
30/60/90 Day Plan execution	
FCMS Request for Proposal (RFP)	
EIS Stage 1 Initiation	
Business Case	
Charter	
Hitner Project Status- overall health Medium High Risk – trending positive see quarterly report for April 2024	
Hitner Budget Status- Medium Risk	

Hitner Schedule Status- Medium High Risk	
Hitner Resources Status- Medium Risk	
Hitner Scope Status- High Risk	

MILESTONES AND SCHEDULE

The FCMS project team is tracking the 30/60/90-day plan schedule through May. During this 90-day cycle, the project manager is working on finetuning the actual project schedule. The official schedule will be ready to review in the next LFO report. Efforts have focused on project re-engagement across all stakeholder groups. They are primarily aligning with DAS and the EIS Stage Gates, with renewed effort on the Project Charter, Business Case, Project Scope, and Requirements review.

Start and end dates for milestones, like project phases and corresponding deliverables, "products," will be created (e.g., technical manuals, test scripts) with the support of the procured Quality Assurance Vendor.

30/60/90 DAY PLAN

OPDC FCMS 30/60/90 Plan Project start: **Mon, 2/19/2024**

OPDC FCMS Project lead Display week: 1

TASK	ASSIGNED TO	PROGRESS	START	END
30/60/90 Day Plan				
Set up monthly Governance Committee mtgs	Mary Knoblock	100%	2/22/24	2/22/24
Set up monthly Stakeholder mtgs	Mary Knoblock	100%	2/22/24	2/22/24
30/60/90 Day Plan	Mary Knoblock	75%	2/19/24	2/22/24
Finalize stakeholder List	Mary Knoblock	90%	2/22/24	2/24/24
Workplan for BSA's, Sys Architect, Data Analyst	Mary Knoblock	75%	2/21/24	2/26/24
CIO Alignment / Onboard	Mary Knoblock	100%	2/22/24	3/5/24
Project Meetings Cadence	Mary Knoblock	100%	2/22/24	3/5/24
Project Tracking WBS - Asana	Mary Knoblock	80%	2/22/24	3/20/24
Identify areas needing further inquiry & analysis (to be used fo	Mary Knoblock	100%	2/22/24	4/4/24
FCMS Project Documents Refresh for Main Documents	Mary Knoblock	100%	2/22/24	4/4/24
Documentation	Mary Knoblock	90%	2/22/24	4/19/24
Requirements Review	Mary Knoblock	70%	2/22/24	5/29/24
Communications Plan	Mary Knoblock	25%	2/22/24	5/19/24
New Roles and Responsibilities Matrix	Mary Knoblock	0%	2/22/24	5/19/24
Steering Committee Activation	Mary Knoblock	25%	2/22/24	5/19/24
FCMS (RFP)	Mary Knoblock	50%	2/22/24	5/19/24
FCMS (Charter, Business Case)	Mary Knoblock	80%	2/22/24	5/19/24
Set up project structures & tools (Asana, Daily Stand Ups, We	Mary Knoblock	80%	2/22/24	4/19/24
Onboard Business Analysts	Mary Knoblock	25%	3/20/24	4/19/24
Engage with State of Idaho regarding their Legal Server Imple	Mary Knoblock	50%	3/20/24	5/19/24
Develop RACI for project team (update previous document)	Mary Knoblock	20%	3/29/24	4/19/24
Plan out next 120 days of work Asana (April 8 – Aug 3)	Mary Knoblock	75%	2/22/24	5/19/24
Insert new rows ABOVE this one				

PROJECT DELIVERABLES

The table below represents the identified deliverables. As the PMP currently serves as a working document, the deliverable table will be revised as all parties have been identified and procured.

No.	Name	Resource
S1	Initiation	FCMS Project Team
S1.1	Quality Assurance	FCMS Project Team, Hittner
S1.1.1	QA Review of Project to date	Hittner
S1.1.2	Risk Assessment	Hittner
S1.1.3	Quality Planning	Hittner
S1.1.4	Quality Control	Hittner
S1.1.5	Quality Assurance Status and Improvements Reporting	Hittner
S2	Solution Analysis & Planning	FCMS Project Team
S2.1	Project Kickoff	FCMS Project Team
S2.1.1	Steering	
S2.2	Project Plan	FCMS Project Team
S2.2.1	Communication Plan	FCMS Project Team
S2.2.2	Resource Management Plan	FCMS Project Team
S2.2.3	Infrastructure Plan	FCMS Project Team
S2.2.4	Testing Plan	FCMS Project Team
S2.2.5	Data Migration Plan	FCMS Project Team
S2.2.6	Off-Ramp Plan	FCMS Project Team
S2.2.7	Change Management Plan	FCMS Project Team
S2.2.8	Requirements Traceability Matrix	FCMS Project Team
S2.2.9	Risk and Issue Management Plan	FCMS Project Team
S2.2.10	Organization Change Management Plan	FCMS Project Team
S2.3	Requirements	FCMS Project Team
S2.3.1	Draft	FCMS Project Team
S2.3.2	Review	FCMS Project Team
S2.3.3	Approve	FCMS Project Team
S2.4	System Vendor RFP	FCMS Project Team, Hittner
S2.4.1	Release RFP	FCMS Project Team
S2.4.2	Review Submissions	FCMS Project Team
S2.4.3	Vendor Selections	FCMS Project Team
S2.4.4	Draft Vendor Contract	FCMS Project Team
S2.4.5	Negotiate Contract Terms	FCMS Project Team
S2.4.6	Contractor SOW	FCMS Project Team
S2.4.7	Sign Vendor Contract	FCMS Project Team
S3	Implementation Planning	FCMS Project Team
S3.1	Contractor SOW	FCMS Project Team
S3.2	Baseline Project Plan	FCMS Project Team
S3.3	System Security Plan	FCMS Project Team
S3.4	RFP Documents	FCMS Project Team
S3.5	Scope Document	FCMS Project Team
S3.6	Schedule Milestone Summary	FCMS Project Team
S3.7	Budget	FCMS Project Team
S3.8	Deliverable Management Plan	FCMS Project Team

S3.9	*RTM*	*FCMS Project Team*
S3.10	*Test Evaluation Documents*	*FCMS Project Team*
S3.11	*Cloud Workbook*	*FCMS Project Team*
S3.12	*LFO Readiness Assessment*	*FCMS Project Team*
S3.13	*Execution*	*FCMS Project Team*
S3.14	*System Security Plan*	*FCMS Project Team*
S3.15	*Executed Contracts & Amendments*	*FCMS Project Team*
S3.16	*Updated Project Management Documents*	*FCMS Project Team*
S3.17	*Project Status Reports & Risk Logs*	*FCMS Project Team*
S3.18	*Independent QA Deliverables*	*Hittner*
S3.19	*Quarterly Quality Management Reports*	*Hittner*
S3.20	*Disaster Recovery Plan*	*FCMS Project Team*
S4	*Project Closing*	*FCMS Project Team*
S4.1	*Lessons Learned*	*FCMS Project Team*

FCMS PROJECT SCHEDULE HIGH-LEVEL MILESTONE

Del	Task	Start Date	Target Delivery
Y	Conduct Procurements.	Oct-23	Jun-24
Y	Develop Project Charter.	Feb-24	Mar-24
	Identify stakeholders and collect requirements.	Feb-24	Mar-24
Y	Define Scope Statement.	Feb-24	Mar-24
Y	Create a Work Breakdown Structure (WBS).	Feb-24	Mar-24
Y	Develop a Project Management Plan.	Feb-24	Mar-24
Y	Define Activity List.	Feb-24	Mar-24
	Sequence Activities.	Feb-24	Mar-24
	Estimate Activity Resources.	Feb-24	Mar-24
	Estimate Activity Durations.	Feb-24	Mar-24
Y	Develop Schedule.	Feb-24	Mar-24
	Estimate Costs.	Feb-24	Mar-24
Y	Determine Budget.	Feb-24	Mar-24
Y	Plan Quality Management.	Feb-24	Mar-24
Y	Plan Resource Management.	Feb-24	Mar-24
Y	Plan Communications Management.	Feb-24	Mar-24
Y	Plan Risk Management.	Feb-24	Mar-24
Y	Identify Risks.	Feb-24	Mar-24
Y	Perform Qualitative Risk Analysis.	Feb-24	Mar-24
Y	Perform Quantitative Risk Analysis.	Feb-24	Mar-24
Y	Plan Risk Responses.	Feb-24	Mar-24
Y	Plan Procurement Management.	Feb-24	Jun-24
Y	Plan Stakeholder Engagement.	Feb-24	Jun-24
Y	Direct and Manage Project Work.	Mar-24	Jun-24

	Manage Project Knowledge.	Mar-24	Jun-24
	Manage Quality.	Mar-24	Jun-24
	Acquire Resources.	Mar-24	Jun-24
	Develop Team.	Mar-24	Jun-24
	Manage Team.	Mar-24	Jun-24
	Manage Communications.	Mar-24	Jun-24
	Implement Risk Responses.	Mar-24	Jun-24
	Manage Stakeholder Engagement.	Mar-24	Jun-24
	Monitor and Control Project Work.	Mar-24	Jun-24
	Perform Integrated Change Control.	Mar-24	Jun-24
	Validate Scope.	Mar-24	Jun-24
	Control Scope.	Mar-24	Jun-24
	Control Schedule.	Mar-24	Jun-24
	Control Costs.	Mar-24	Jun-24
	Control Quality.	Mar-24	Jun-24
	Control Resources.	Mar-24	Jun-24
	Monitor Communications.	Mar-24	Jun-24
	Monitor Risks.	Mar-24	Jun-24
	Monitor Stakeholder Engagement.	Mar-24	Jun-24
Y	Develop a Governance Framework Document.	Mar-24	Jun-24
Y	Governance Gate: Project Initiation Review.	Apr-24	Jun-24
Y	Create a Data Security and Privacy Plan.	Apr-24	Jun-24
Y	Governance Gate: Planning Review.	Apr-24	Sep-24
Y	Develop System Specifications Document.	May-24	Sep-24
Y	Develop a Request for Proposal (RFP) Document.	May-24	Sep-24
	Distribute RFP to Qualified Vendors.	Oct-24	Jun-24
	Evaluate Vendor Proposals.	Oct-24	Jun-24
	Control Procurements.	Oct-24	Dec-24
	Select System Vendor.	Dec-24	Jun-24
Y	Contract Negotiation and Signing.	Jan-25	Jun-24
Y	Develop System Design Document.	Jan-25	Jun-24
	Review and Approve System Design.	Jan-25	Jun-24
Y	Develop Training Program for Users.	Feb-25	Jun-24
	System Development by Vendor.	Feb-25	Jun-24
	Progress Review Meetings with Vendor.	Mar-25	Jun-24
	Change Management Implementation.	Mar-25	Jun-24
	System Testing in Staging Environment.	Mar-25	Jun-24
	Issue Resolution and Re-testing.	Mar-25	Jun-24
Y	Regulatory Compliance Verification.	Apr-25	Jun-24
	Prepare Production Environment.	Apr-25	Jun-24
Y	Conduct User Training Sessions.	Apr-25	Sep-24
Y	Data Migration to New System.	Apr-25	Sep-24
	Data Integrity and Accuracy Verification.	Apr-25	Sep-24
Y	User Acceptance Testing (UAT).	Apr-25	Sep-24
	Resolve UAT Feedback Issues.	Apr-25	Sep-24
Y	Finalize Operational Documentation.	Apr-25	Dec-24

	Governance Gate: Design Review.	May-25	Dec-24
Y	Production Environment Deployment.	Jun-25	Dec-24
	Post-Deployment Monitoring for Issues.	Jun-25	Dec-24
Y	Establish a System Maintenance Plan.	Jun-25	Dec-24
	Post-Implementation Review Meeting.	Jun-25	Dec-24
Y	Finalize Issue Resolution Post-Deployment.	Jun-25	Dec-24
Y	Operational Handover.	Jun-25	Dec-24
	Develop a System Enhancement Plan.	Jun-25	Dec-24
Y	Ongoing Compliance with Governance Framework.	Jun-25	Dec-24
	Monitor System Utilization and Gather Feedback.	Jun-25	Mar-25
	Periodic System Performance Reviews.	Jun-25	Mar-25
	Implement System Enhancements/Updates.	Jun-25	Mar-25
Y	Update System Documentation Regularly.	Jun-25	Mar-25
Y	Ongoing User Training and Support.	Jun-25	Mar-25
Y	System Issue and Request Management Process.	Jun-25	Mar-25
Y	Review and Update Governance Documents.	Jul-25	Mar-25
	Governance Gate: Implementation Review.	Jul-25	Jun-25
	Plan for Future System Scalability.	Jul-25	Jun-25
	Integrate with Other Systems if Required.	Jul-25	Jun-25
	Continuous Improvement Plan for System.	Aug-25	Jun-25
Y	Establish Key Performance Indicators (KPIs).	Aug-25	Jun-25
Y	Regular Reporting to Stakeholders.	Aug-25	Jun-25
Y	Annual System Audit.	Aug-25	Sep-25
Y	Update Risk Management Plan.	Aug-25	Sep-25
Y	Review and Adjust Project Management Plan.	Sep-25	Sep-25
	Stakeholder Engagement Review and Update.	Sep-25	Sep-25
Y	Lessons Learned Documentation.	Sep-25	Dec-25
	Governance Gate: Post-Implementation Review.	Sep-25	Dec-25
Y	Project Closure Document.	Sep-25	Dec-25
Y	Formal Project Closure and Stakeholder Sign-off.	Sep-25	Dec-25

FCMS RFP PROGRESS

The RFP Requirements review is underway with the FCMS Project Manager. FCMS Stakeholders identified in the stakeholder matrix above have been included in groups of land requirement review sessions through April. The groups are Legal, Finance, Data, and IT. The review sessions review 800 requirements identified to vet for the new FCMS program. The categorization of requirements is paid close attention to as it was requested to go into further detail before submitting the RFP again. The RFP will have Critical, Important, Nice to Have, and Not Required categorizations.

The project network Subject Matter Expert started a significant deep dive into OPDC's network environment, and Database Requirements are underway. This is an essential step in learning the foundation of OPDC's tech stack and understanding where the data resides for FCMS.

OPDC has 18 databases in total; 8 of them have front-end interfaces for users to interact with and enter data into. For these 8, IT creates maps to outline the interaction between the user and the data. In addition, OPDC already has a database relations map but is working to restructure it to display better how all 18 databases interact (or don't) with each other.

Two Excel sheets with data about the databases have been created: Data Dictionary and Data Volumes. The Data Dictionary file details the metadata (Tables, fields, descriptions, sizes, primary keys, foreign keys, etc.) of all 18 databases.

Below are all the documents described above and their status regarding completion. Due to their file size, these documents, except the Database Relations Diagram, are available upon request rather than included in the appendix.

Completed Database Process Diagrams:

- APV Diagram
- Attorneys Diagram
- CAS Diagram
- Contacts Diagram
- Contracts Diagram
- IHR Diagram
- Data Volumes Diagram

In progress Database Diagrams:

- Diagram CSS
- Database Relations Diagram
- Data Dictionary

APPENDIX

FCMS Status Reports

FCMS OPDC Project Status - March 1, 2024

FCMS OPDC Project Status - March 8, 2024

FCMS OPDC Project Status - March 15, 2024

FCMS OPDC Project Status - March 22, 2024

FCMS OPDC Project Status - March 29, 2024

FCMS OPDC Project Status - April 12th, 2024

FCMS OPDC Project Status - April 18th, 2024

OPDC FCMS Documents

FCMS OPDC Project Kick-Off

OPDC FCMS Reset

OPDC FCMS Business Case

OPDC FCMS Charter

Hittner & Associates Documents

Hittner February Quarterly Quality Status Report v0.5

Hittner April Quarterly Quality Status Report v0.6

Hittner FCMS Project Risks April 2024

Stakeholder Documents

FCMS Project OPDC Stakeholders Bi-Weekly Meeting Agenda - March 14th, 2024

FCMS Project OPDC Stakeholders Bi-Weekly Meeting Agenda - March 28th, 2024

Database Documents

Database Relations Diagram

Documents available upon request

FCMS WBS Project Schedule in Asana

RFP Requirements Workbook

Data Dictionary

Data Volumes

Diagram - APV.pdf

Diagram - Attorneys.pdf

Diagram - CAS.pdf

Diagram - Contacts.pdf

Diagram - Contracts.pdf

Diagram - CSS.pdf

Diagram - IHR.pdf

Oregon Public Defense Commission

Project Status

March 1, 2024

Financial & Case Management System

Oregon Public Defense Commission

PROJECT STATUS

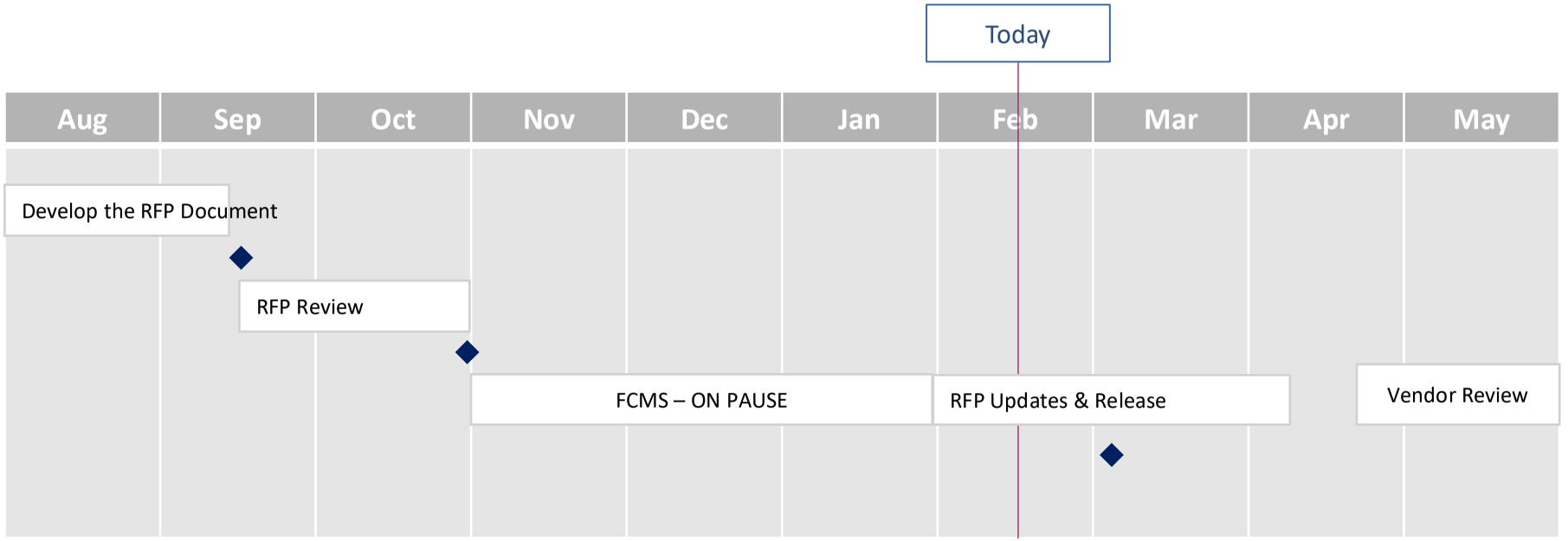
Status

Milestone	Status
30/60/90 Day Plan execution	
FCMS Request for Proposal (RFP)	
EIS Stage 1 Initiation	
Steering Team Committee & SME Kick-Off	
IT Investment Form (ITI)	
Business Case	
Charter	

PROJECT STATUS

Schedule

- FCMS Kick-off
- RFP review restarted (target send early April)
- RFP Requirements SME sessions (March 5th Kick-off)



PROJECT STATUS

Key Risks & Issues

ID	RISK TITLE	DESCRIPTION	APPROACH	TYPE	PRIORITY	RESOLUTION DATE	STATUS
RS-001	*Timeline to Obtain RFP Vendor Contract*	*Goal is to send RFP out to FCMS vendors in early April. It could likely be that work will only start in July/August after Contract approval and Vendor resource commitment*	*Aggressively manage timeline and request/follow up from PM perspective. Ensure State of Oregon IT Procurement is on board throughout the process.*	*Mitigate*	*Critical*	*March 31, 2024*	*New*

ID	ISSUE TITLE	DESCRIPTION	APPROACH	TYPE	PRIORITY	RESOLUTION DATE	STATUS
IS-001	*Project Resources, Availability & Skills required*	*FCMS needs OPDSC resources (IT/Data/Legal/Finance) along with dedicated Project resources (Network Analyst, Project Coordinator)*	*Weekly discussions with Sponsors to ensure balance of project & operational efforts for shared resources*	*Accept*	*High*	*March 15*	*New*

Oregon Public Defense Commission

Project Status

March 8, 2024

Financial & Case Management System

Oregon Public Defense Commission

PROJECT STATUS

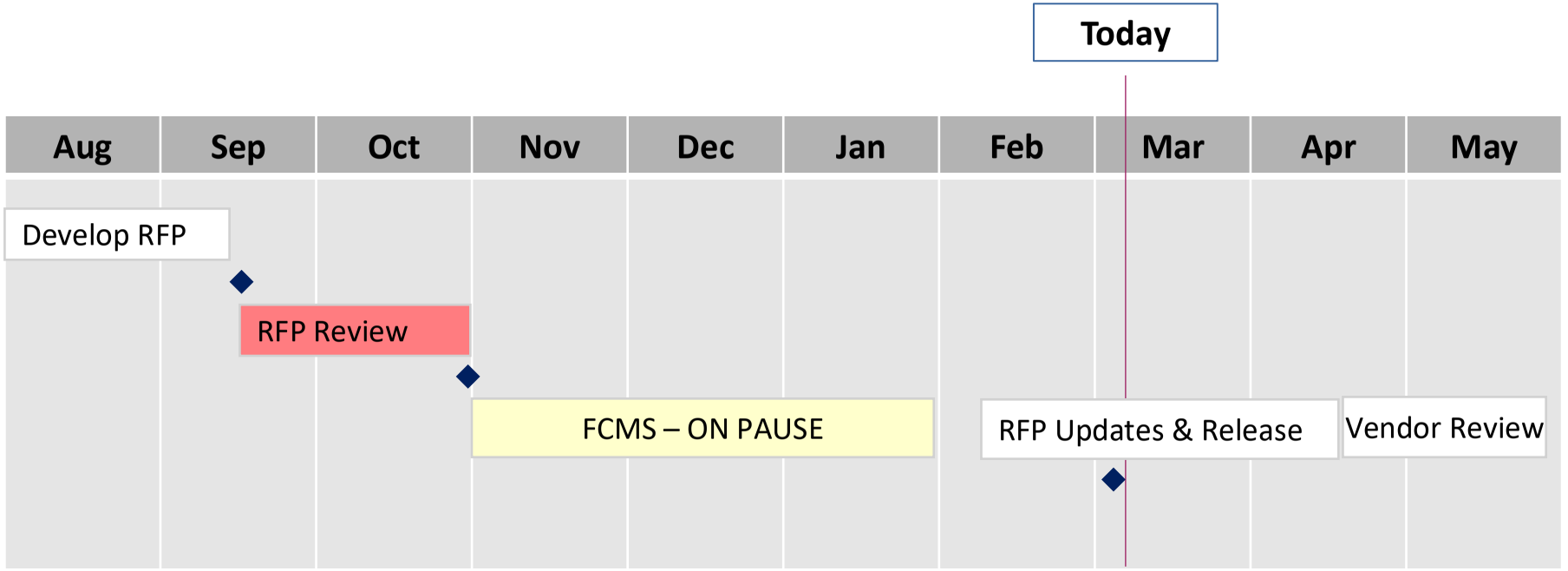
Status - Major Milestones

Milestone	Status
30/60/90 Day Plan execution	
FCMS Request for Proposal (RFP)	
EIS Stage 1 Initiation	
IT Investment Form (ITI)	
Business Case	
Charter	
Hittner Project Status- overall health Medium High Risk – trending positive see quarterly report for Feb 2024	
Hittner Procurement Status- High Risk	
Hittner Budget Status- Medium Risk	
Hittner Schedule Status- High Risk	
Hittner Resources Status- Medium High Risk	
Hittner Scope Status- High Risk	

PROJECT STATUS

Schedule

- FCMS RFP Requirements SME work sessions (target completion end of March)
- RFP review restarted (target send mid April)
- IES Stage Gate Documents In Progress (RFP, Charter, Business Case, ITI Form)



PROJECT STATUS

Key Risks & Issues

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RS-003	*EiS "Custom" Stage review process DAS for judicial to executive transition*	*EIS has concerns of Stage Gate process for judicial to executive.*	*Reviewed with Governance Sponsor Team: said it wasn't a concern-not in DAS yet. Need unified confirmation from DAS EIS and OPDC leadership*	*Mitigate*	*High*	*March 15*	*New*

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Oregon Public Defense Commission

Project Status

March 15, 2024

Financial & Case Management System

Oregon Public Defense Commission

Status - Major Milestones

Milestone	Status
30/60/90 Day Plan execution	
FCMS Request for Proposal (RFP)	
EIS Stage 1 Initiation	
IT Investment Form (ITI)	
Business Case	
Charter	
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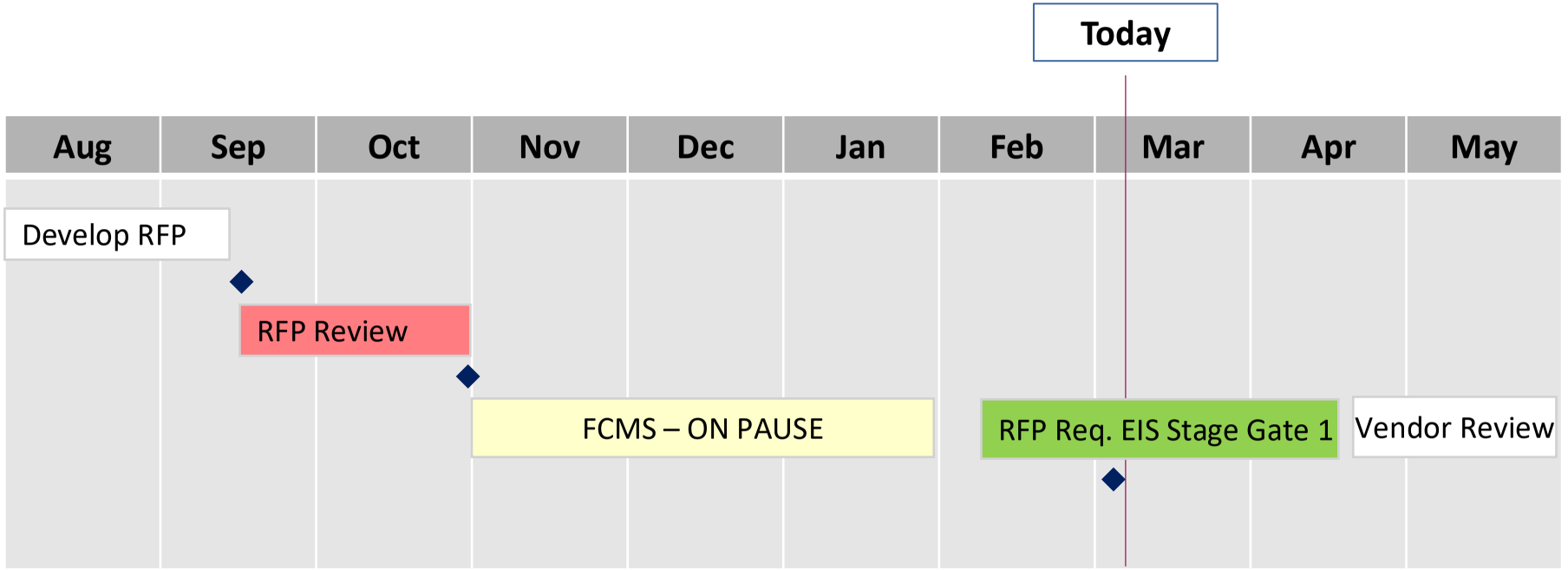
Hittner Budget Status- Medium Risk	
Hittner Schedule Status- High Risk	
Hittner Resources Status- Medium High Risk	
Hittner Scope Status- High Risk	

Schedule

- FCMS RFP Requirements SME work sessions (target completion mid April – Finance Base Work Done, Legal next 2 weeks through end of March)
- RFP Req Review and RFP Open Items Mitigation (target set mid April)
- IES Stage Gate Documents In Progress (RFP, Charter, Business Case, ITI Form)



OPDC PROJECT STATUS

Key Risks & Issues

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30/60/90 Day Plan - Highlights

- RFP: Requirement sessions ongoing with Finance completed first level review.
- EIS Documents: Charter, Business Case, ITI Form – In Progress (Charter iQMS – review done)
- Project Documentation and Asana WBS: In-Progress
- Stakeholder Project Status Reports – Sending weekly currently
- Governance Committee Meetings – In progress
- RFP Remaining Documentation – In progress
- DOJ FCMS Review – PM will review key takeaways & learnings
- Procurement Request – In progress
- Stakeholder dependencies and schedule being re-considered due to other OPDC project priorities and First Priority: Judicial to Executive Branch Transition Project
- Legal Requirement RFP Review Starts March 19th

Oregon Public Defense Commission

Project Status

March 22, 2024

Financial & Case Management System

Oregon Public Defense Commission

Status - Major Milestones

Milestone	Status
30/60/90 Day Plan execution	
FCMS Request for Proposal (RFP)	
May FCMS LFO Report	
IT Investment Form (ITI)	
Business Case	
Charter	
Hittner Project Status- overall health Medium High Risk – trending positive see quarterly report for Feb 2024	
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Hittner Schedule Status- High Risk	
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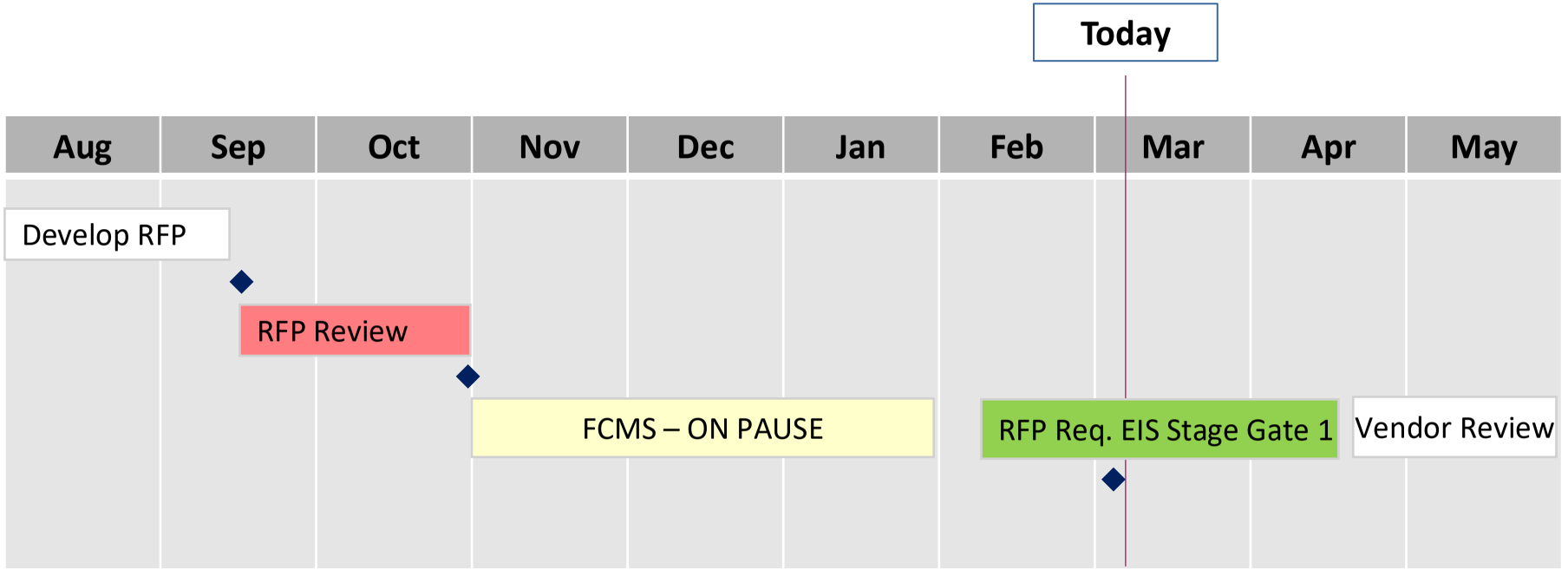
Hittner Scope Status- High Risk	

Schedule

- FCMS RFP Requirements SME work sessions (Legal RFP Requirement Review Sessions – In Progress)
- RFP Req Review and RFP Open Items Mitigation (target set mid April)
- IES Stage Gate Documents In Progress (RFP, Charter, Business Case, ITI Form)



OPDC PROJECT STATUS

Key Risks & Issues

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30/60/90 Day Plan - Highlights

- RFP: Requirement sessions ongoing with Legal – In Progress.
- EIS Documents: Charter, Business Case, ITI Form – In Progress (target completion date March 29th).
- Project Documentation and Asana WBS: In-Progress
- Stakeholder Project Status Reports – Sending weekly currently
- Governance Committee Meetings – In progress
- RFP Remaining Documentation – In progress
- DOJ FCMS Review – Initial meeting done. Follow-up meetings scheduled.
- Procurement Request – Procurement Support from DOJ In Progress.
- Legal Requirement RFP Review underway.
- LFO Report for FCMS – In Progress.

Oregon Public Defense Commission

Project Status

March 29, 2024

Financial & Case Management System

Oregon Public Defense Commission

Status - Major Milestones

Milestone	Status
30/60/90 Day Plan execution	
FCMS Request for Proposal (RFP)	
May FCMS LFO Report	
IT Investment Form (ITI)	
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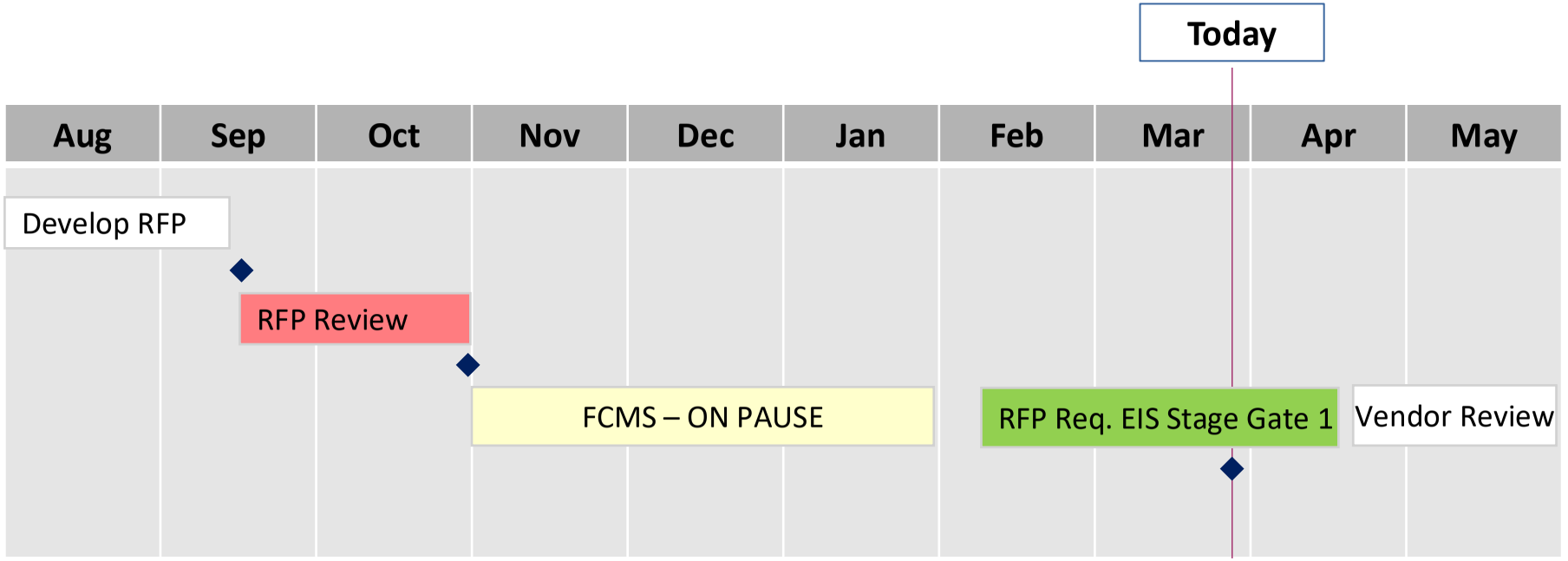

OPDC PROJECT STATUS

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30/60/90 Day Plan - Highlights

- RFP: Requirement sessions ongoing with Legal.
- EIS Documents: Charter, Business Case: Sending for Approval/Sign-Off by Friday 3/29.
- Project Documentation and Asana WBS: In-Progress
- Procurement Request – Working with Covendis for Procurement Resource.
- EIS Stage Gate 1 alignment with DAS.
- Scope review: Charter Scope updated – Scope language includes inclusive solution for finance/case management to be reviewed by Governance Committee.
- Communication Plan: In Progress, linked in LFO report, and on SharePoint.
- LFO Report: In Progress. Will be completing by Monday April 1st.
- Alignment with Communications team.

Oregon Public Defense Commission

Project Status

April 12th, 2024

Financial & Case Management System

Oregon Public Defense Commission

Highlights

Resource Updates

•Onboarding Legal SMEs from AD.

•Onboarding FCMS Business Owner: Ernie Lannet, Chief Defender, Criminal Appellate Section.

Requirement Categorization Updates

•RFP: Requirement Review Sessions ongoing with Legal, AD, & Data SMEs.

•IT & Finance Requirements Initial Review for RFP: Completed

•RFP: Requirement Review Sessions starting for AD Legal Focus Group April 18th.

EIS Stage Gate Documents Updates

•EIS Stage Gate 1 Documents: Charter- First round feedback from DAS: additional revisions needed – In Progress.

•EIS Stage Gate 1 Documents: Business Case- Sent to Governance Committee for Signature/Edit Feedback – In Progress.

•**Project Planning Updates:**

•MS FCMS Teams Channel Organization/Project Documentation and Asana WBS: In-Progress.

Highlights

Procurement & Critical Path Risk Updates:

•Procurement Request – In progress/High Risk – Mitigation with DAS.

•30/60/90 Day Plan - In Progress (Timeline moved closer to Fall/Winter for Procurement).

DAS EIS Alignment Updates:

•Sync with DAS – Completed with Feedback Last week: re-alignment on PMBOK artifacts for EIS Stage Gate, Procurement, Hiring Resources, Organizational Chart for Project, Charter and PPM Tool.

•Scope review: Charter Scope updated and reviewed with DAS. Three tracks of work (Finance, Time Tracking & Case Management).

PMBOK FCMS Project Artifacts & Misc. OPDC FCMS Artifacts Updates:

•Communication Plan: In Progress, reviewed briefly with Lisa and Reed. This will receive priority focus after Stage Gate 1 artifacts.

•LFO Report: Completed and delivered to Lisa Taylor.

•Renewed focus on PMBOK artifacts, process and procedures for DAS EIS alignment Stage Gate 1. Artifacts receiving top priority focus are the Charter and Business Case first to get submitted no later than end of April.

•First round of high-level communication sent to Reed for update on FCMS – Completed

Status - Major Milestones

Milestone	Status
30/60/90 Day Plan execution	
FCMS Request for Proposal (RFP)	
May FCMS LFO Report	
IT Investment Form (ITI)	
Business Case	
Charter	
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Hittner Resources Status- Medium High Risk	
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Schedule

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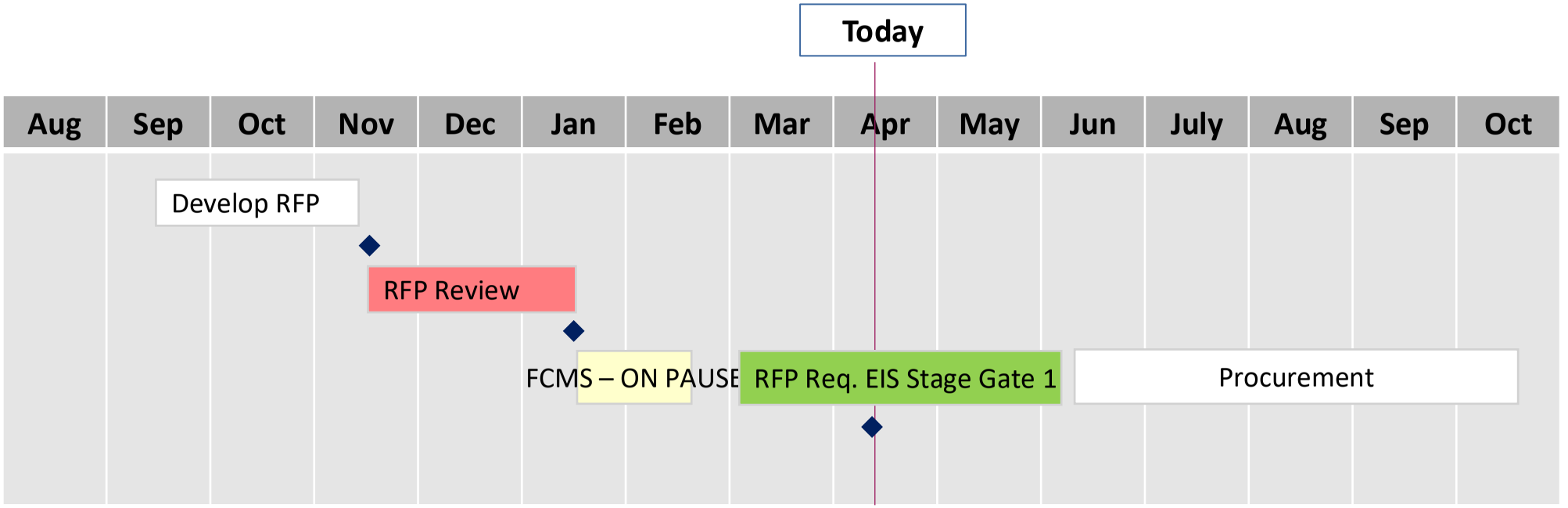

OPDC PROJECT STATUS

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Oregon Public Defense Commission

FCMS Governance Committee
Bi-Weekly Meeting

April 18th, 2024

Financial & Case Management System

Oregon Public Defense Commission

FCMS Agenda Items

Resource Updates

•Onboarding new BA end of April/beginning of May (Resource plan – Finance Business Req. Review/Process Mapping, User Stories/Use Cases).

•Anticipating 2nd BA (Resource plan – Appellate Division (Requirements review/Process Mapping, User Stories/Use Cases).

•RFP Contractor hiring – In Progress.

•Procurement hiring – In Progress via DAS/Scott Emry.

•**Requirement Categorization Updates**

•RFP: Requirement sessions ongoing with Legal, Data SMEs.

•RFP: Requirement sessions starting for AD Legal Focus Group April 18th.

•Participation is slightly decreasing for Legal SME's. (AD is high participation). Please remind reports of critical activity and send replacements if SME is out. This is critical path for RFP.

EIS Stage Gate Documents Updates

•EIS Stage Gate 1 Documents: Charter- 70% complete with revisions. Please send PAE list of Contractors to add to Appendix.

•EIS Stage Gate 1 Documents: Business Case- Complete (Adobe E-sign emails sent to Governance Committee, please sign by next Thursday.)

Project Planning Updates:

•MS FCMS Teams Channel Organization/Project Documentation and Asana WBS: In-Progress.

FCMS Agenda Items

Procurement Critical Path Risk Update:

•Procurement Request – Mitigated. Scott Emry has secured a Procurement Resource and will be finalizing contract.

DAS EIS Alignment Updates:

- Confirmed Business Case and Project Charter are the two artifacts DAS wants to review and approve before formally starting RFP work again. Must have both documents in by April 25th at the latest.

PMBOK FCMS Project Artifacts & Misc. OPDC FCMS Artifacts Updates:

•Communication Plan: In Progress, reviewed briefly with Lisa and Reed. This will receive priority focus after Stage Gate 1 artifacts.

•LFO Report: Overall, Commissioner had positive feedback for FCMS LFO report. Revisions requested by Scott (shorten main report but workaround will be to extend to a 40-100 page Appendix due to formatting links in PDF not clickable etc.) Goal for April 23rd Completion. In Progress currently.

•Security Plan – DAS sent template, will want to be prepared to review this alongside RFP work.

•Risk Management Plan – will be a focus to formally review risks from Hittner Report.

•Steering Committee – Hittner report asked about this: do we want to set up a separate steering committee or are the stakeholders considered the steering committee?

•Project Schedule – Will escalate priority of this work, finalize after Business Case and Project Charter are turned in.

•Overall project alignment: in May project will pick up significantly. I will want to steer the project with Waterfall process' for PMBOK and a combined Agile Stand-up for SME's as well as a project status meeting for the team separately from the SME's. Awareness for additional SME time and resourcing. More information on this in the near future.

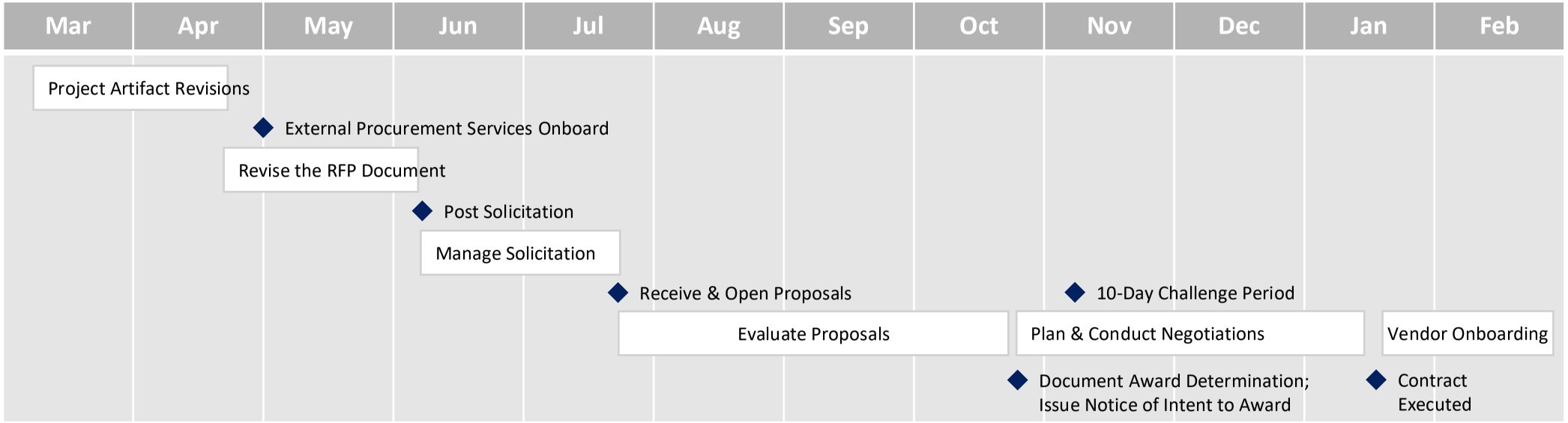
Procurement Timeline

Request for Proposal Milestones

- Round 1 - Score Tabulation Meeting: 8/16
- Round 2 - Vendor Demonstrations: 9/9 – 9/19
- Round 2 - Score Tabulation Meeting: 9/30
    - Determine whether Round 3 is needed
- Round 3 - if needed: 10/14 – 10/18, with scoring tabulation meeting 10/21

Dependencies

- Requires external Procurement service are in place
- Large sets of requirements take more time to score
- Timeline may shorten if a 3rd round is not needed



FCMS & Transition

Labor Timeline

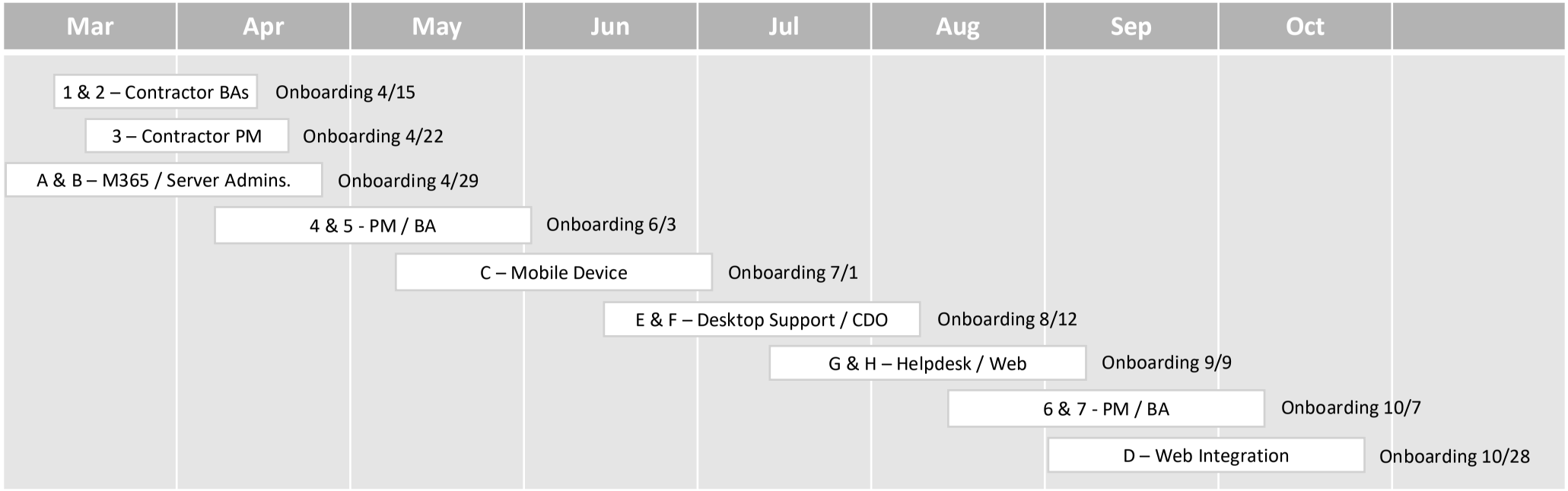
- April Hires
- July Hires

Order	FCMS Contractor Position
1	Business Analyst
2	Business Analyst
3	Project Manager

Order	FCMS Staff Position
4	Project Manager (OPA3)
5	Business Analyst (OPA2)
6	Business Analyst (OPA2)
7	Project Manager (OPA3)

Order	FCMS Contractor Position
A	M365 Administrator (ITS4)
B	Server Administrator (ITS4)
C	Mobile Device (ITS3)
D	Web Integration (ITS3)

Order	FCMS Staff Position
E	Desktop Support (ITS2)
F	Chief Data Officer (MGR3)
G	Helpdesk (ITS1)
H	Web (ITS3)



FCMS Risks & Mitigation Report

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RS-002	*DAS IT Procurement Resource*	*RFP guidance for standard RFP's (Vendor, T&C's, RFP decision making processes)*	*DAS has potential candidate from State of Oregon.* Scott Emry securing contract.	*Mitigate*	*Critical*	*March 31*	*In Progress*
RS-003	*EiS "Custom" Stage review process DAS for judicial to executive transition*	*EIS has concerns of Stage Gate process for judicial to executive.*	*DAS requires Business Case and Project Charter to be submitted by the 29th April. Any later will stop the critical path for the whole project and will put the whole project at risk.*	*Mitigate*	*High*	*March 15*	*In Progress*

Status - Major Milestones

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Q&A

- Roundtable Q&A – 10 min

Next Steps

- *Sign Business Case no later than April 25th. Check Adobe email notifications to sign please.*
- *PAE List of contracted vendors for Charter. Please send by April 22nd.*
- *Business Case & Project Charter submittal to EIS.*
- *Legal Requirements Review sessions continue.*
- *LFO revisions after first review continue.*
- *Ways of Working – Daily Stand-ups, Schedule, Onboarding of BA, other resources for FCMS end of April/May.*

Thank you

Oregon Public Defense Commission

Oregon Public Defense Commission

Project Status

February 23, 2024

Financial & Case Management System

Oregon Public Defense Commission

Agenda

- Acceptance of Last Meeting Minutes
- Leadership Updates
- Schedule
- Stakeholders List
- Scope / Change Orders
- Risk / Issues
- Budget
- Int. Quality Management Services
- Organizational Change
- Next Steps
- Roundtable

Acceptance / Modifications

Prior Meeting Minutes

PROJECT STATUS

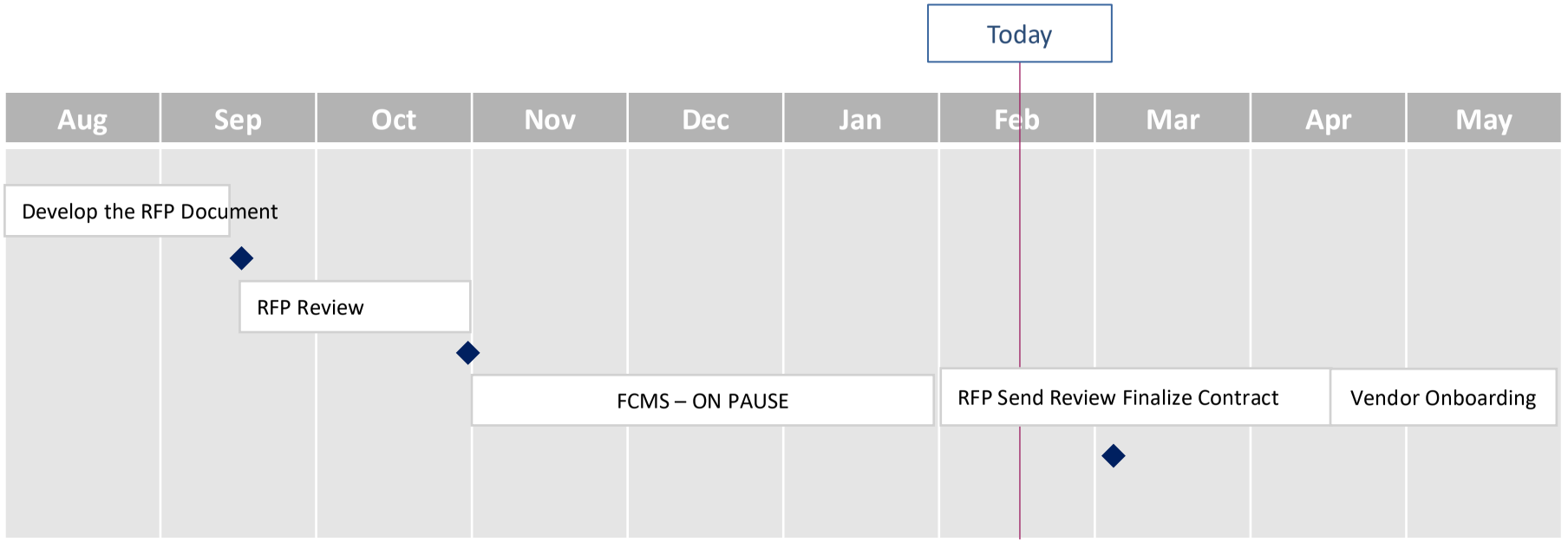
Leadership Updates

- CIO onboards February 27th.
- CFO and Deputy Director meet with PM's to kick off FCMS project restart.
- PM's set and get approval on 30/60/90 day plan for FCMS.

PROJECT STATUS

Schedule Update

- FCMS Kick-off with SME's scheduled Feb. 29th
- RFP review restarted.
- RFP Requirements SME sessions start March 4th -March 22nd.



PROJECT STATUS

Scope / Change Orders Update

- *No change orders to date from restart Feb. 11, 2024*
- *Scope is focused on RFP review and approval as main scope activity until mid March.*

ID	CHANGE REQUEST TITLE	DESCRIPTION	TYPE	IMPACT SEVERITY	PRIORITY	REQUESTOR	STATUS
CO-001	*Descriptive title of the Change*	*Description of the Change Order*	*Enhancement, Defect, Issue, Environment*	*Critical, High, Medium, Low*	*Resolve Immediately, High Attention, Normal Queue, Low Priority*	*Name / Organization of the Requestor*	*Submitted, Review, Open, Approved, Postponed, Closed*

PROJECT STATUS

Scope / Change Orders Update

- *No change orders to date from restart Feb. 11, 2024*
- *Scope is focused on RFP review and approval as main scope activity until mid March.*

ID	CHANGE REQUEST TITLE	DESCRIPTION	TYPE	IMPACT SEVERITY	PRIORITY	REQUESTOR	STATUS
CO-001	*Descriptive title of the Change*	*Description of the Change Order*	*Enhancement, Defect, Issue, Environment*	*Critical, High, Medium, Low*	*Resolve Immediately, High Attention, Normal Queue, Low Priority*	*Name / Organization of the Requestor*	*Submitted, Review, Open, Approved, Postponed, Closed*

PROJECT STATUS

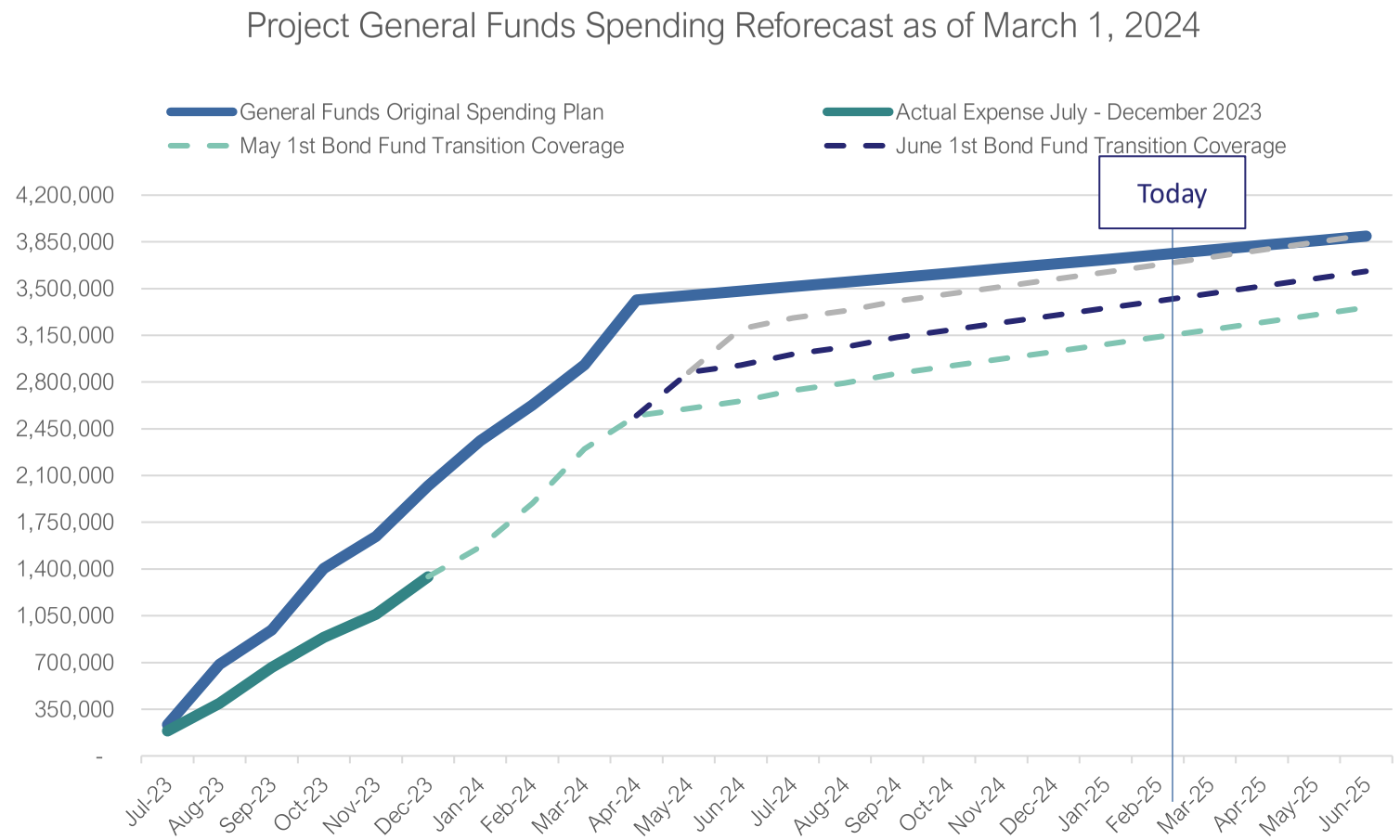
Key Risks & Issues Update

ID	RISK TITLE	DESCRIPTION	RESPONSE PLAN	TYPE	PROBABILTIY	IMPACT	FINANCIAL RISK
RI-001	*Descriptive title of the Risk*	*Description of potential risk*	*Description of response strategy steps for mitigation*	*Accept, Avoid, Mitigate, Transfer*	*5 – Almost Certain, 4 – Likely, 3 – Moderate, 2 – Unlikely, 1 - Rare*	*5 - Severe, 4 - Major, 3 - Significant, 2 - Minor 1 - Insignificant*	*High-level estimates of cost should Risk occur*
	n/a						

ID	ISSUE TITLE	DESCRIPTION	APPROACH	TYPE	PRIORITY	RESOLUTION DATE	STATUS
IS-001	*Descriptive title of the Issue*	*Description of active Issue*	*Description of how the owner will tackle the Issue*	*Accept, Avoid, Mitigate, Transfer*	*Critical, High, Medium, Low*	*Target / Actual Issue resolution date*	*New, Open, Closed*
	n/a						

PROJECT STATUS

Budget Update



PROJECT STATUS

iQMS Update

- *IQMS onboarding to FCMS Thursday Feb 29th. No risks identified as of 2/23/2024.*

TITLE	DESCRIPTION	PROBABILTIY	IMPACT	RISK RATING
Descriptive title of the Risk	*Description of potential Risk*	*5 – Almost Certain, 4 – Likely, 3 – Moderate, 2 – Unlikely, 1 - Rare*	*5 - Severe, 4 - Major, 3 - Significant, 2 - Minor 1 - Insignificant*	*Probability X Impact*

PROJECT STATUS

OCM Update

- *OCM high level resource discussions occuring in FCMS.*
- *No OCM resources onboarded currently.*

Next Steps

- *30/60/90 Day Plan execution in progress.*
- *RFP requirements review in progress.*
- *IQMS re-engagement initiated.*
- *Steering Team Kick-Off meeting scheduled Feb. 29th.*
- *RFP requirements review work sessions slated for early - mid March.*

Thank you

Oregon Public Defense Commission

Oregon Public Defense Commission

FCMS / Transition

April 15, 2024

Oregon Public Defense Commission

FCMS & Transition

Labor Timeline

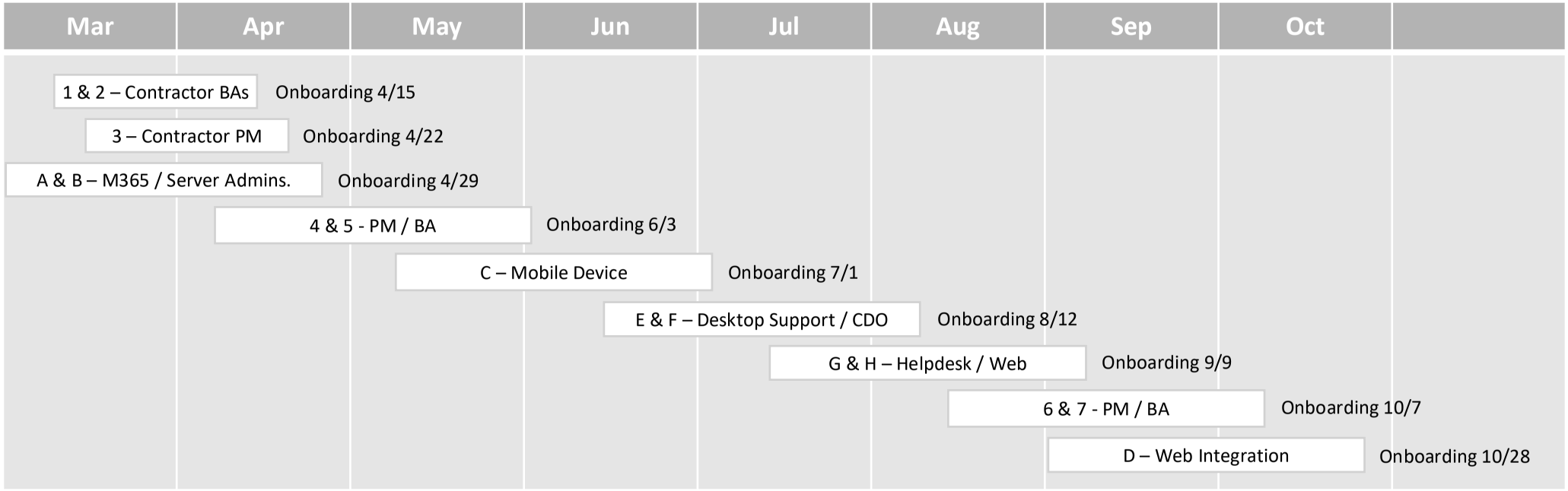
- April Hires
- July Hires

Order	FCMS Contractor Position
1	Business Analyst
2	Business Analyst
3	Project Manager

Order	FCMS Staff Position
4	Project Manager (OPA3)
5	Business Analyst (OPA2)
6	Business Analyst (OPA2)
7	Project Manager (OPA3)

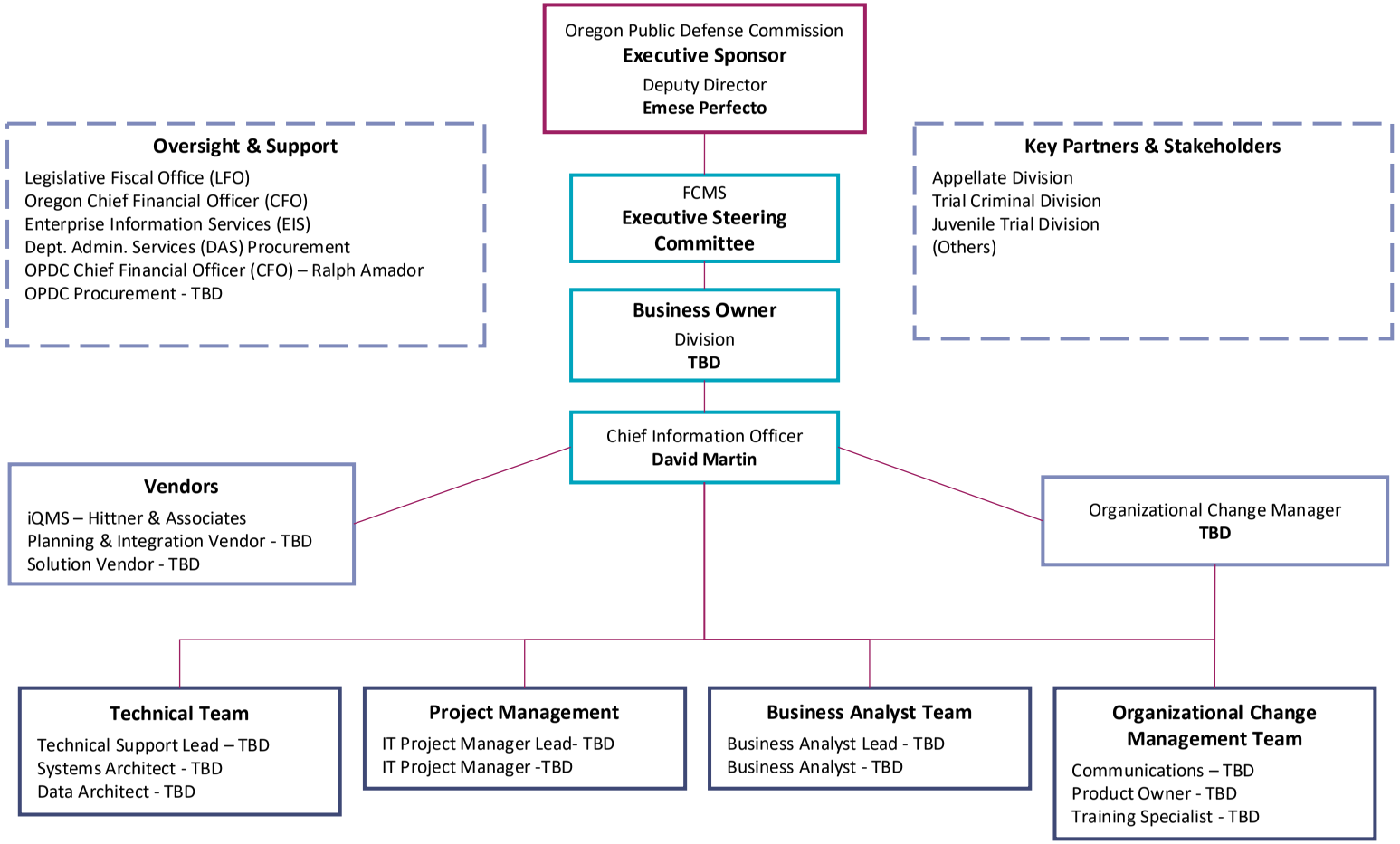
Order	FCMS Contractor Position
A	M365 Administrator (ITS4)
B	Server Administrator (ITS4)
C	Mobile Device (ITS3)
D	Web Integration (ITS3)

Order	FCMS Staff Position
E	Desktop Support (ITS2)
F	Chief Data Officer (MGR3)
G	Helpdesk (ITS1)
H	Web (ITS3)



Financial & Case Management System

Project Organizational Chart



Expanded Team: Agency operational staff will provide subject matter expertise, conduct user-acceptance testing, and perform other actives such as training and instruction actives as part of the project's expanded team. Numbers of employees, timing, and duration of assignment will be determined based on needs of the project.

Financial & Case Management System

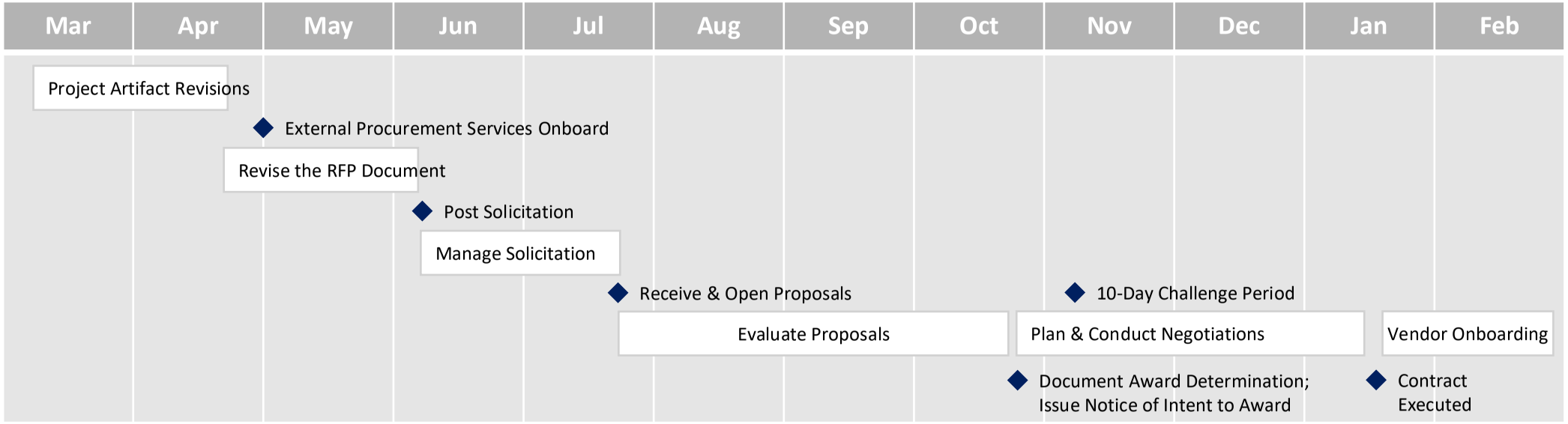
Procurement Timeline

Request for Proposal Milestones

- Round 1 - Score Tabulation Meeting: 8/16
- Round 2 - Vendor Demonstrations: 9/9 – 9/19
- Round 2 - Score Tabulation Meeting: 9/30
    - Determine whether Round 3 is needed
- Round 3 - if needed: 10/14 – 10/18, with scoring tabulation meeting 10/21

Dependencies

- Requires external Procurement service are in place
- Large sets of requirements take more time to score
- Timeline may shorten if a 3rd round is not needed



Oregon Public Defense Commission

OPDC Financial and Case Management System

Business Case Version 5.0

Authorized Signatures

PROPOSAL **NAME AND** DOCUMENT VERSION#	**OPDC Financial and Case Management System Project Business Case**		
AGENCY	Oregon Public Defense Commission	DATE	April 11, 2024
AGENCY CONTACT	Emese Perfecto	PHONE NUMBER	503-910-5049

The signatures in this section attest to a review and approval of the business case 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 Information

0.1 Document Purpose

This document describes the o**verall system needs and modernization efforts required to ensure that the Public Defense Services Commission (OPDC) 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
4.0	4/11/2024	M. Knoblock	Edits/Refresh
4.1	4/11/2024	Governance & Sponsor Approval	Signatures
5.0	4/16/2024	Mary Knoblock	Case Management Edits

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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 (OPDC) 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 OPDC to re-initiate the planning phases of the Financial/Case Management System (F/CMS) information technology project.

OPDC 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 OPDC 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 OPDC 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 OPDC'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 OPDC 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 – Trial Practice (internal / external providers)

• 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
• Log communications including SMS and email.
• Calendaring.
• Conflict checks that catches different spellings.
• Redacting.
• Store digital evidence including video, jpeg, and audio files.
• Store multiple addresses and phone numbers for a client.
• Reflect whether a client is in jail, out of custody, at the OSH, or in Prison.
• Communicate with ecourt to populate basic case info.
• Notes function; Communicate with ecourt to populate basic case info.
• Notes function.
• Log communications including SMS and email.
• Calendaring.
• Conflict checks that catches different spellings.

• Redacting. • Store digital evidence including video, jpeg, and audio files. • Store multiple addresses and phone numbers for a client. • Reflect whether a client is in jail, out of custody, at the OSH, or in Prison. • Communicate with ecourt to populate basic case info. • Notes function.
Case Management – Appellate Division
• Document generation for a case (standard templates for documents they file and letters for phases of the case. • Case Details • Case Processing • Search for clients and case types • Document Management and Automation • Comprehensive Data Collection • Attorney Caseload • Attorney Oversight • Timekeeping • Conflict checking • Calendaring for tracking deadlines, appointments, and events • Rules-based calendaring (court rules imported to automatically calculate due dates) • Task management • Workflow processes • Track communication • Email management • Store digital evidence including video, jpeg, and audio files • Store multiple addresses, email addresses, and phone numbers for a client • Reflect whether a client is in jail, out of custody, at the Oregon State Hospital (OSH), or in prison • Communicate with ecourt to populate basic case information • Notes function • Ability to create documents with e-signing function • Contact tracking for contacts who are not clients. • Automation with workflows, documents, forms
Reporting
• System canned reports • System ad hoc reports • Direct database access via PowerBI (other) platforms for custom reporting
Time Tracking
• Attorney, Non-Attorney, Internal/External Providers Time Tracking ability by case or client.

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 OPDC 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. OPDC desires a transparent and effective public defense model and believes that starts with modernizing operational technologies.

1.2 Background

OPDC, 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 OPDC 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[1].

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.[2]"*

OPDC 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 OPDC 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, OPDC 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) OPDC has implemented several workgroups to better understand the requirements of HB 5030, as well as begin to align critical agency

[1] 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

[2] 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 OPDC 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, OPDC 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. OPDC 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 Manual[4] 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 OPDC 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 OPDC 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

OPDC's organizational structure has shifted with the requirements of HB 5030 (2021). Previously OPDC through its Office of Public Defense Services (OPDC) 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 OPDC has re-established organizational divisions (***Appendix E**, OPDC Organizational Chart)* which now include Executive, Appellate, Administrative Services Division (ASD), and Compliance, Audit and Performance (CAP).

[3] New York Office of Indigent Legal Services. (2016). *A Determination of Caseload Standards pursuant to § IV of the Hurrel-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.

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 OPDC is reflected in Figure 1. The lack of integrated tools makes OPDC unable to track, monitor, or analyze contract data or reimbursements in an effective or efficient manner.

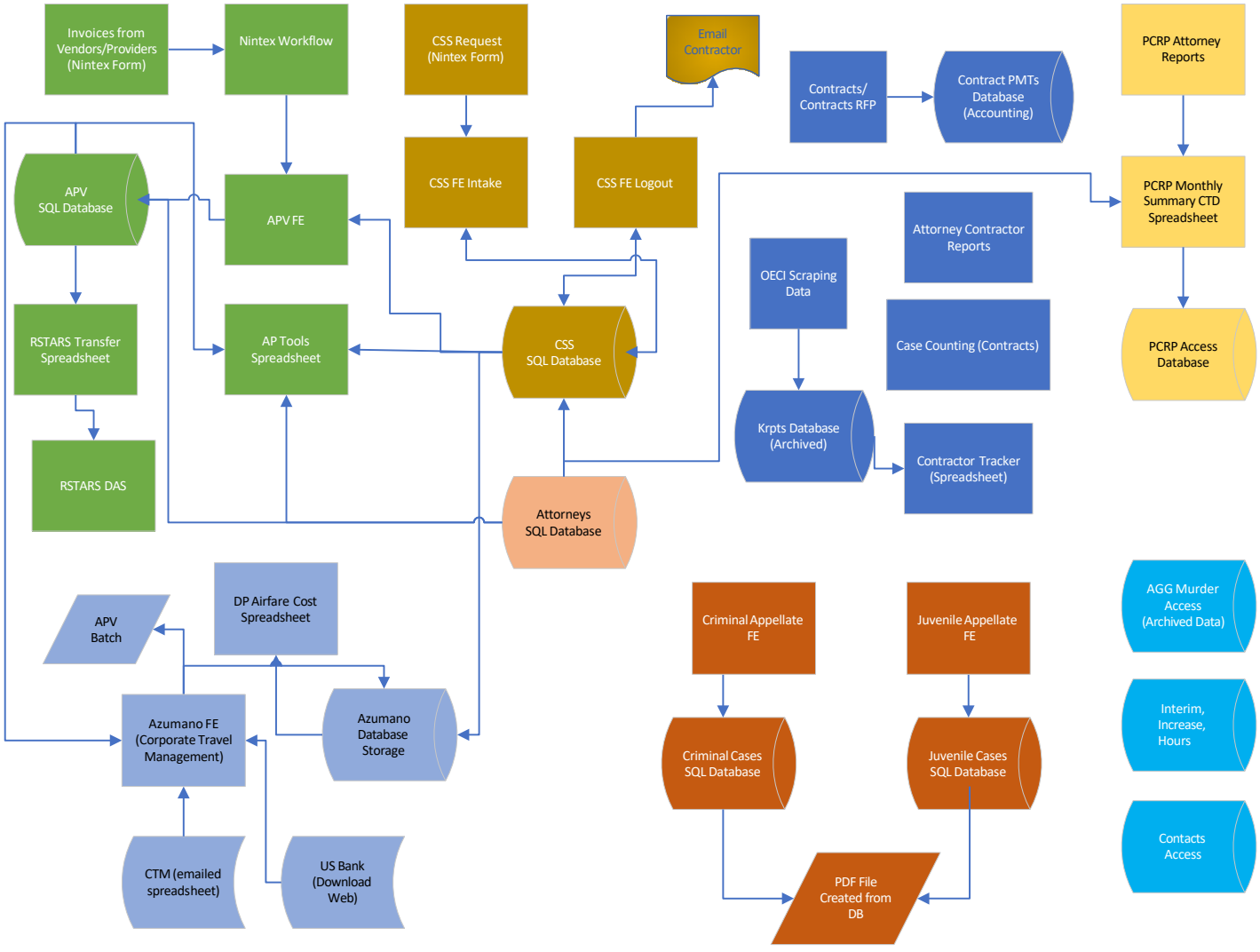


Figure 1. OPDC Current In-House Technical Framework

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 OPDC 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 OPDC more now than ever, specifically with the reorganization efforts called out in HB 5030. Each division within OPDC 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[5]. 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 (OPDC) has oversight over the agency and the state's public defense system. The Executive Division works closely with the OPDC to develop the agency's vision and establish policy in the provision of public defense services. The OPDC meets approximately 10-12 times per year, and the division works with the OPDC 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 OPDC 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

[5] 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.[6] 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)

[6] 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 OPDC 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 OPDC 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.[7,8]
- The investment time frame for this project is more than 10 years.
- The solution includes authorized user statewide access and online availability.
- OPDC 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 OPDC.
- OPDC 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.

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

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

- OPDC 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;[9] and CFR 42 Part 2 Confidentiality of Substance Use Disorder Patient Records.[10]

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 OPDC 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 (Appendix D)	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

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

[10] 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.

Moderately Satisfies
Minimally or Does Not Satisfy

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 OPDC.
    - A vendor/cloud hosted COTS system requires minimal configuration to meet the needs of OPDC.
- 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 OPDC 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 OPDC project vision,[11] 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 OPDC 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

[11] Office of Public Defense Services. (2020). *Project Vision Statement*.

Customized functionality designed to specifically meet OPDC core financial and case management business needs.			X
Solution that surpasses the technical and business capabilities of the current OPDC 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 OPDC standards and specifications across multiple platforms.		X	X
Transaction capacity designed for scalability.		X	X
Integration capabilities based on OPDC 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 OPDC. 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, OPDC 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 OPDC and is not positioned to be enhanced to meet future needs.

No.	Benefit/Risk Criteria	Rating	Justification
1	Minimized Initial Capital Cost		Requires no additional capital.
2	Minimizes Costs to Maintain		Requires no additional capital.
3	Provides Operational Improvement		Fails to provide operational improvement.
4	Addresses Core Business Problems		Does not address core business problems.
5	Meets High-level Solution Requirements (Appendix D)		Does not meet solution requirements.
6	Provides Stakeholder Benefit		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, OPDC will be left with paper-based tools to conduct business. Failure to implement a viable solution leaves OPDC unable to meet the goals and strategies outlined in the OPDC 2016-2021 Strategic Plan[12] and the findings and recommendations of the 6AC (2019), ABA (2022).[13][14]

2.4.3 Benefits

There are no tangible benefits for OPDC 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. OPDC 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 OPDC will be well equipped to handle this workload.

[12] 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/OPDCStrategicPlan2016-2021.pdf.

[13] 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.

[14] 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 OPDC 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 (Appendix D)		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
OPDC Hardware (New Requirements/Lifecycle)	$200,000.00
QA Vendor	$825,000.00
Technical Team – OPDC (2-OPA 3/1-ITS 4)	$1,866,748.00
Training – Vendor/OPDC	$440,000.00
Travel – Vendor/OPDC	$110,000.00
Overhead - $30k/year	$120,000.00
Change Management Vendor (Project and Organization)	$800,000.00
Total All Funds	$9,175,548.00

2.5.2 Risks

The greatest risk for this alternative is that there is a relatively large operational impact to OPDC, 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 OPDC. 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 OPDC 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
OPDC Hardware (New Requirements/Lifecycle)	$200,000.00
QA Vendor	$825,000.00
Technical Team – OPDX (2-OPA 3/1-ITS 4)	$1,866,748.00
Training – Vendor/OPDC	$440,000.00
Travel – Vendor/OPDC	$110,000.00
Overhead - $30k/year	$120,000.00
Change Management Vendor (Project and Organization)	$800,000.00
Total All Funds	$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 OPDC to cross-train and be able to maintain the combined solution going forward. This alternative will require OPDC 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 OPDC 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 OPDC 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 OPDC at a level of efficiency that is not possible in a non-integrated, manual entry, paper-based environment. An integrated FCMS system will enable OPDC 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 OPDC 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. OPDC 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 OPDC 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. OPDC 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. OPDC will maximize use of current resources familiar with the OPDC 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. OPDC 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. OPDC 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…"[15]

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.

OPDC 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. OPDC will apply both CM and PM on the FCMS project. OPDC 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

OPDC recognizes the critical nature of the relationship between individual transitions and successful delivery of organizational level improvements and intended outcomes (see Appendix

[15] 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). OPDC 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 OPDC 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

OPDC 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[16]. Leaders in Oregon have noted the following sentiments as they show their support of change when it relates to the public defense system:

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 OPDC 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. OPDC 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 OPDC 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 OPDC staff to conduct contractual research and assurance of performance and compliance factors. Currently OPDC 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 OPDC 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, OPDC 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 OPDC to achieve its goals and outcomes (see Appendix A). The Financial and Case Management Project, when fully implemented, will enhance the way OPDC 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 OPDC 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 OPDC, 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 OPDC and providers.
Outcome:	"Real-time" informative dashboards provide both OPDC 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 OPDC for public defense will be used efficiently and effectively to monitor quality representation of contracted providers.

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.
Outcome:	Monitor and audit the number of CSS per case and provider to reduce duplication of requests/payments and track activity.
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.
Impact:	Ability to manage and configure changes to OPDC approved rates for routine and CSS.
Outcome:	OPDC approved rate changes will be made within system by authorized users.
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.
Outcome:	Ability to audit to ensure compliance with OAM (i.e., Prompt Payment Section 116).
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.
Outcome:	Providers do not regularly exceed caseloads prescribed by the best practice standards.
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.	

Impact:	Analysis of case cost and case management outcomes through (improved) reporting.
Outcome:	Ability to report on the case cost and time spent per attorney and the associated case outcomes.
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.[17]	
Impact:	Monitor adherence to PCRP recommendations.
Outcome:	Provide data to evaluate operational expectations of the PCRP.
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.
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.
Outcome:	Ability to collect and measure racial, ethnic, and gender identity.
Outcome:	Ability to collect and measure income and economic disparities.

[17] 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].

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.

Goal: The Case Management database allows providers to gather records for contacts, tasks, matters, and other related records to provide front and back-end management for legal practice.

Impact:	Creates a centralized system for legal practice information, prevents duplication and errors, increases efficiency, provides tool for users to assist with complying with Oregon Rules of Professional Conduct and to maintain reasonable caseloads as required to provide effective assistance of counsel.
Outcome:	A robust repository for case management that allows functions for users whose role includes case management.
Output:	Front-end management: Allows for conflict checking, client and contact management, case-matter management, document management and automation, calendaring, task management and creating workflow processes, communication, and email management. Back-end management allows for creation of reports for case tracking and caseload management.

Goal: Case Management – ability to enter client, contact, and other party information and to link to other matters within organization to track specific details about contacts for conflict checking.

Impact:	Provides a tool for users to assist with complying with Oregon Rules of Professional Conduct concerning conflicts of interest
Outcome:	Conflict checking that works for Case management.
Output:	Users will be able to search entire database for matching names and information of potential clients and create a record of the conflict check within the matter

Goal: Case Management – document automation and management.

Impact:	Prevents duplication and errors and increases efficiencies.
Outcome:	A Case Management tool that can maintain and update files.
Output:	Users will be able to automate the creation of specific, routine letters and forms and store, organize, access, and search for documents.
Goal: Case Management – Includes a general calendar and allows for rules-based calendaring.	
Impact:	Creates a centralized location (or integrates with other calendar software?) for tracking deadlines, appointments, and events.
Outcome:	Time Management
Output:	Court rules are imported into database to automatically calculate deadlines. Also allows users to input specific dates and times for scheduling and tracking other due dates, appointments, and events.
Goal: Case Management - Task and workflow management.	
Impact:	Prevents duplication and errors and increases efficiency
Outcome:	Eliminate emails between attorneys and legal assistants so tasks don't get lost and instead live in a case management tool.
Output:	Allows providers to organize, allocate, and collaborate on tasks. Ability to calendar tasks and delegate tasks to other users. Workflow will allow the automated process of creating a task list for routine matters.
Goal: Case Management – Allows for providers to create inner-office reports for case tracking and caseload management.	
Impact:	Assists with inner-office management of workloads

Outcome:	KPM Reports
Output:	Allows users to track active versus inactive cases, cases assigned to attorneys, court filings by due date, and progress by task and user. Allows for reports for tracking case completion and backlog reports.

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
OPDC 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 – OPDC (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/OPDC	$200,000.00	$200,000.00	$400,000.00	$30,000.00	$10,000.00	$40,000.00	$440,000.00
Travel – Vendor/OPDC	$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	$3,020,149.50	$3,020,149.50	$6,040,299.00	$1,607,624.50	$1,527,624.50	$3,135,249.00	$9,175,548.00
Contingency – 10% of project costs			*$604,029.90*			*$313,524.90*	
Total Funds with Contingency			*$6,644,328.90*			*$3,448,773.90*	*$10,093,102.80*

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	TOTAL
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
OPDC 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 – OPDC (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/OPDC	$200,000.00	$200,000.00	$400,000.00	$30,000.00	$10,000.00	$40,000.00	$440,000.00
Travel – Vendor/OPDC	$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
Contingency – 10% of project costs			*$686,729.90*			*$378,724.90*	
Total Funds with Contingency			*$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
1. Capability of OPDC to manage a project of this size and complexity.	The FCMS project will require a significant amount of project management resources, both at the project and implementation level. OPDC currently does not employ personnel directly supporting project management work.	L	• OPDC will appoint or hire a project manager/team with experience in identification, development, management, and deployment of projects of this size, scope, and complexity. • OPDC will appoint or hire an experienced project manager with overall authority and responsibility to manage and direct the project. • Outsource various implementation activities to contracted vendors. • OPDC has identified a robust governance structure to support the project.	○ Appoint or Hire Project Manager with Oregon Project Management Certification, or PMP. Extend implementation timelines. ○ Reduce the number of concurrent efforts.

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.	**H**	• 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.	○ Re-scope affected project areas. ○ Delay the overall implementation schedule to correspond to new level of funding. ○ Prioritize internal OPDC operations versus statewide deployment.
3. OPDC 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 OPDC faces budget cuts that significantly reduce staff resources identification of business processes, configuration of the system, and deployment activities may be limited.	**M**	• Identify fewer core staff needed to implement basic system(s).	○ Slow down project timeline until SMEs became available. ○ Implement basic functionality and sectionalize configuration / deployment as resources become available.
4. Procurement is delayed.	Vendors have expressed interest in providing services and products for OPDC. COVID-19 may slow vendor responses / resources.	**M**	• Ensure detailed adherence to the approved procurement process.	○ Adjust project timeline as appropriate.

Risk	Description	Rating	Mitigation Strategy	Contingency Plan
5. Lack of clear internal vision creates competing priorities.	OPDC has a project vision statement driven by the OPDC Strategic Plan however the economic situation may create competing priorities.	**M**	• Ensure that governance and OPDC executive leadership clearly communicate internally and externally the importance of the project.	○ Rearticulate strategy to all internal and external stakeholders to clarify expectations.
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 OPDC in order to ensure that decisions are made in a timely manner and with full information.	**M**	• Implement a comprehensive governance model with clear roles and responsibilities. • Acquire external quality assurance oversight to monitor issues in this area. • Identify experienced Project Manager.	○ Rearticulate internal roles and responsibilities to clear up confusion. ○ Identify additional resources if needed.
7. Lack of communication between OPDC, 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.	**M**	• 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. • Rely on the SSP to clearly identify an implementation path.	○ Bring leadership team together to review enhanced communication as necessary. ○ Bring project team together to review messages that conflict and clarify for understanding. ○ Publish the solution and distribute to all impacted by project.

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 OPDC goals and objectives of the project, there exists the possibility that the vendor may not be capable of meeting stakeholder needs or project requirements.	**M**	• Ensure that the vendor understands the business of OPDC and its internal and external interactions. • Clearly articulate the operational needs of the system desired. Hold pre-bid conference to clarify understanding.	○ Meet with the vendor on a regular basis to reiterate goals and objectives of the project and clarify for understanding.
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.	**M**	• The project team and vendor will meet weekly to provide recommendations to governance to allow timely decision making.	○ Decision log is forwarded to Executive Sponsors for approval.
10. Legacy technology failure requires a shift in priorities.	If any major component of the current OPDC 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).	**H**	• Retain a separate support staff skilled in legacy technology. • Minimize changes to legacy tools.	○ Re-scope affected areas. ○ Extend implementation timelines. ○

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	• Engage network administrators and vendor consultants to perform a needs assessment during early project phases. • Contract with vendor to provide adequate, redundant bandwidth. • Assess whether the needs of high-availability business requirements necessitate upgrades to network or power failover systems. If so, make the appropriate recommendations.	○ Have a second technical provider available if needed to facilitate technical infrastructure improvements.
12. "Vision fade".	Losing sight or connection to the OPDC project vision.	L	• 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.	○ Memo from the Executive Director to re-emphasize vision and goals of the project. ○ Project presentations to all internal / external stakeholders.
13. Data Migration.	OPDC data tools / data elements are not organized in a way to facilitate data migration.	M	• Work with vendor to identify appropriate data elements to migrate. • Identify elements that may need to be migrated as text fields. • Identify long term storage of current data that is compatible with new system.	○ Work with OPDC stakeholders to cleanse data prior to data migration.

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.	**H**	• OPDC leadership to continue to empathize goals and objectives. • Identify SMEs to guide configuration and identification of new business processes. • Ensure identified outcomes are met by vendor. • Extensive training provided to internal and external stakeholders. • Extensive business processes documentation.	○ Provide additional training as needed. ○ Enhance change management process as needed. ○ OPDC leadership to identify expectations.
15. Scope Creep.	This project will significantly change the technical infrastructure and impact many OPDC business processes. There is the potential of “scope creep” due to the extensive nature of the project and timeline.	**M**	• OPDC leadership to continue to empathize goals and objectives. • Ensure identified outcomes are met by vendor. • Project Manager to ensure that goals and objectives are clearly stated and met. • Extensive business processes documentation. • Robust change management processes to identify issues that need to be addressed and those that do not.	○ OPDC leadership to identify expectations. ○ Memo from the Executive Director to reemphasize project vision and goals. ○ Ensure vendor understands OPDC goals and objectives.

APPENDIX D: High-Level Requirements

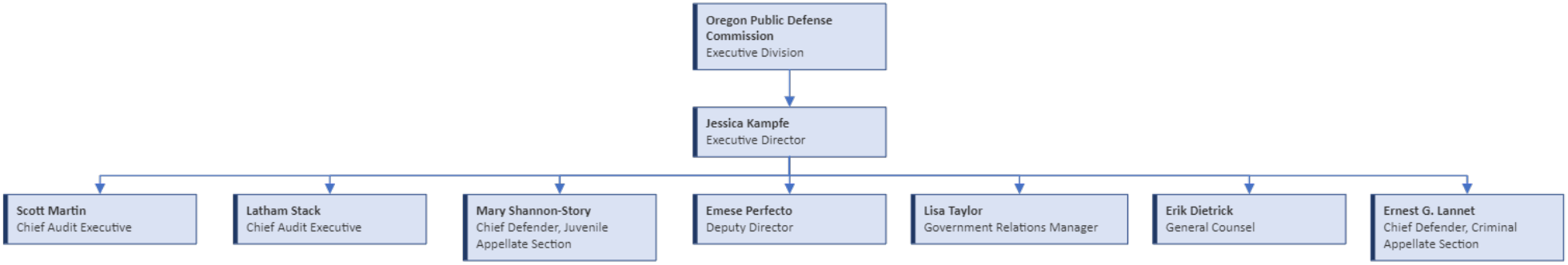
Number	Category	Requirement
1	Role of Party	Parent / Guardian / Child / Attorney
2	Client Information	First Name Last Name SSN* DOB Criminal History* Primary Language Child Placement
3	Client Demographics*	Ethnicity* Race* Gender Identity* Income*
4	Case Information	County Case Name* Case Number Case 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/OPDC 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*

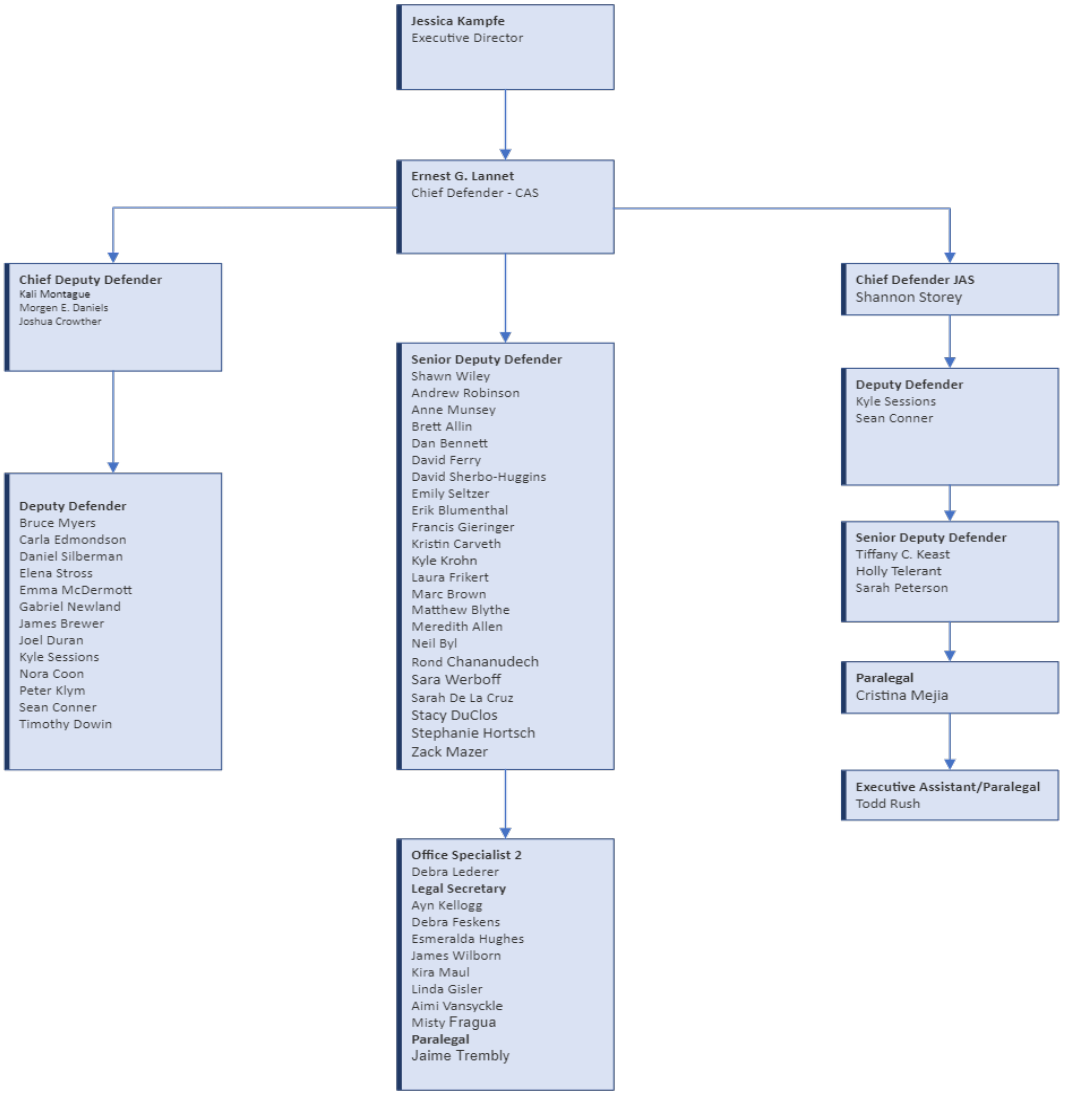
Note: These high-level solution requirements were used as criteria for Section 3, *Alternative Analysis*. Data currently collected by OPDC exists in disparate financial and case management tools. Requirements denoted with an asterisk (*) indicate data and capabilities that OPDC does not currently receive 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

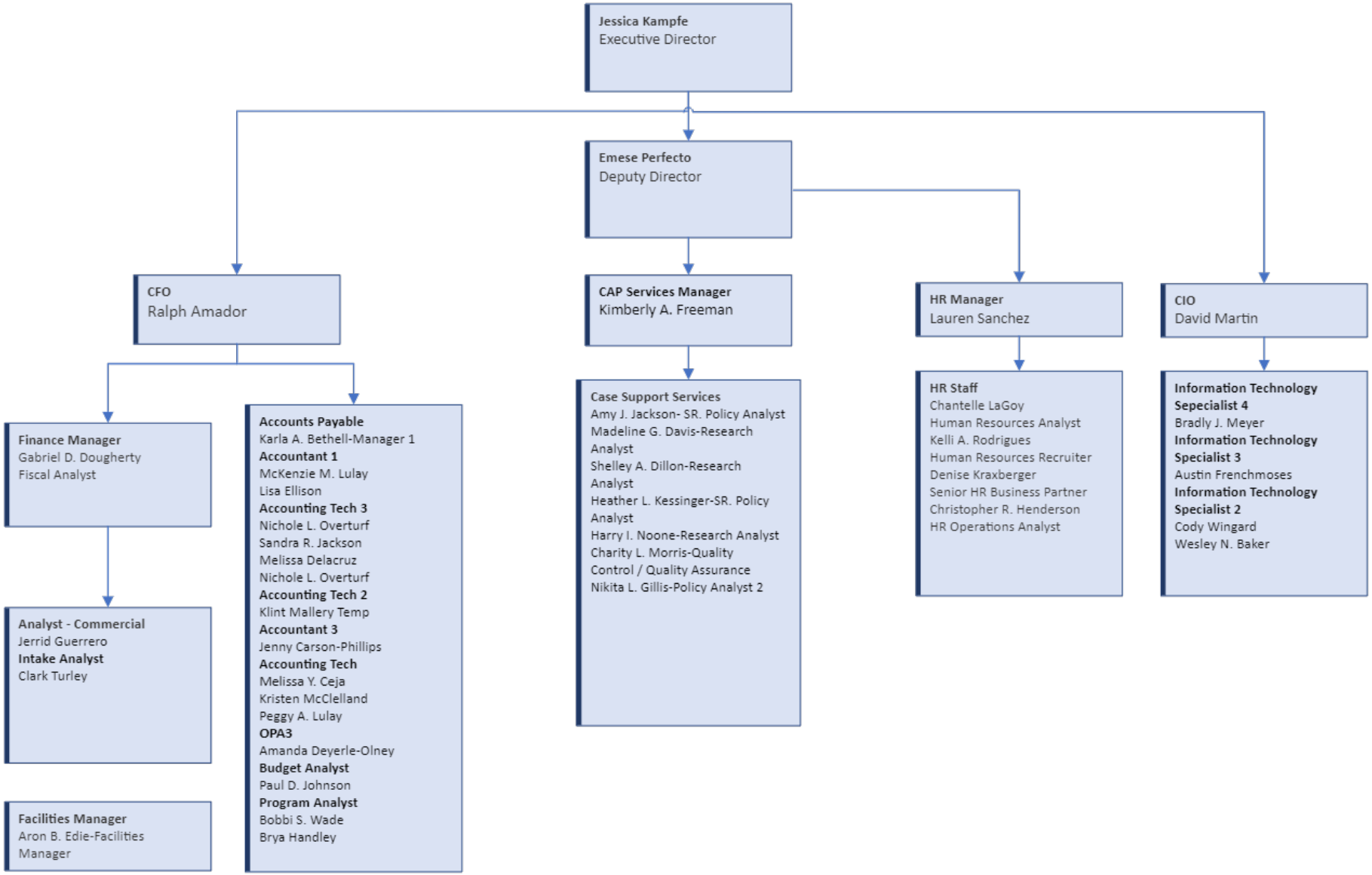
Executive Services Division



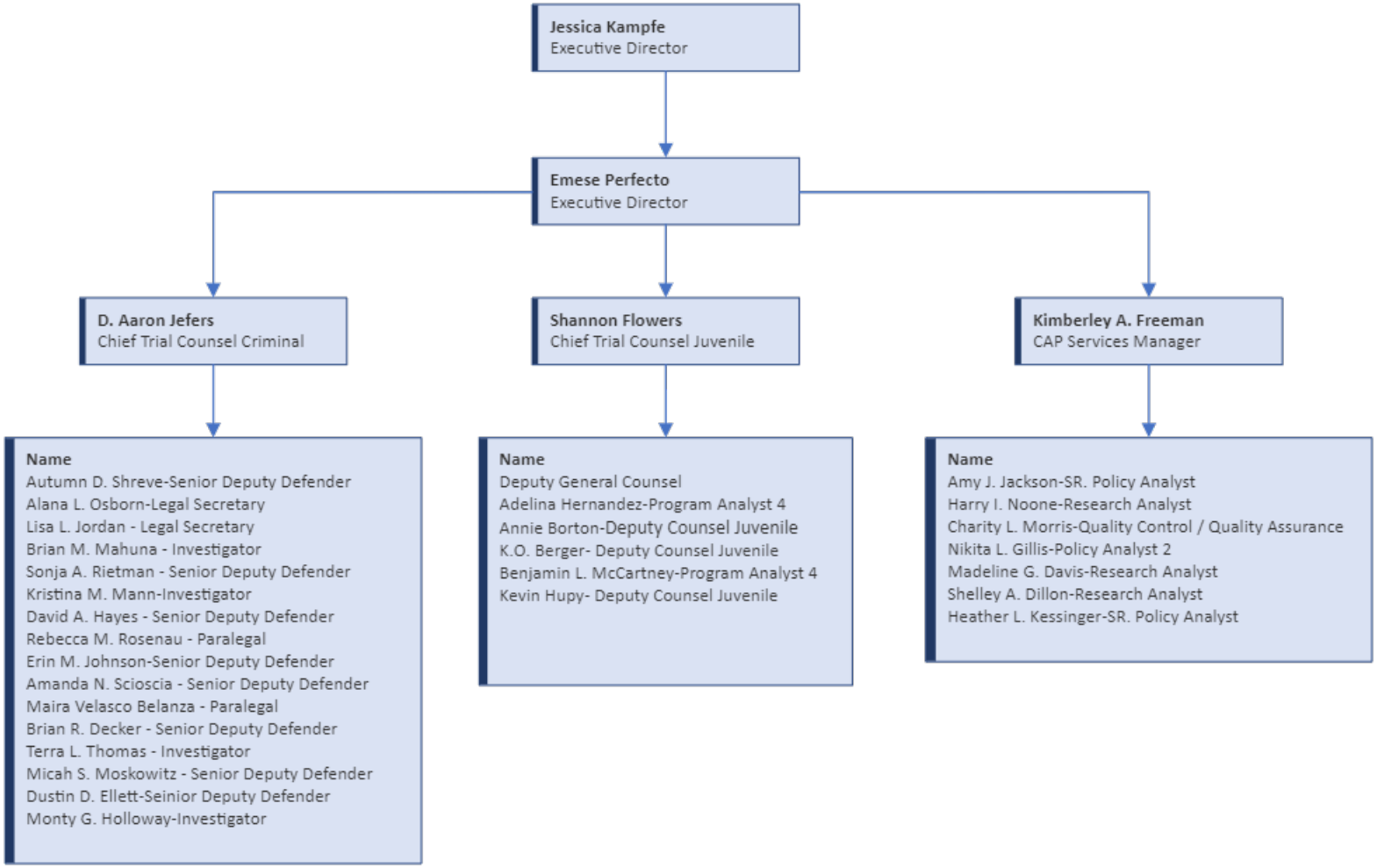
Appellate Services Division



Administrative Services Division



Compliance, Audit, and Performance Division



FCMS Financial Case Management Project Charter

V 0.3

March 29, 2024

Oregon Public Defense Commission

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Document Information

0.1 Document Purpose

OPDC FCMS Project Charter provides an official signed and agreed upon overview of the project and scope as well as stakeholders and governance.

0.2 Revision History

Version	Date	Author	Description/Changes
0.1	7/1/2022	K. Styles	Draft
0.2	4/25/2023	K. Styles	Draft – update project sponsor
0.3	4/28/2024	M Knoblock	Draft – updated scope

Project Information

OPDC's organizational structure has shifted with the requirements of HB 5030 (2021). Previously OPDC through its Office of Public Defense Services (OPDC) Administrative Services 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 OPDC has re-established organizational divisions (***Appendix A**, OPDC 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 OPDC unable to track, monitor, or analyze contract data or reimbursements in an effective or efficient manner.
Proper tools and functionalities are critical to OPDC more now than ever, specifically with the reorganization efforts called out in HB 5030. Each division within OPDC 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[1]. 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.

This project will replace OPDC'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 OPDC 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 OPDC 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. OPDC desires a transparent and effective public defense model and believes that starts with modernizing operational technologies.

Project Scope Statement

0.3 Project Purpose and Business Justification

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

- A centralized link between the accounts receivable, accounts payable, contracts, and case management.
- The ability to produce financial and case metrics (outcomes) through a centralized and integrated system.
- The ability to track case activities and outcomes and maintain (where appropriate) attorney/client confidentially.
- A "real time" view of staff/contractor engagement, enhanced transparency, and accountability through a data driven, interactive internal and external partnership.
- The ability to audit compliance with mandatory statute and constitutional requirements.

0.4 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 which will facilitate the collection of data related to public defense services provided by contractors and OPDC staff. The data input collected through the FCMS will improve the ability to provide data as it relates to the "Financial and Case Management System Goals and Outcomes" (See Appendix A), facilitate the monitoring of standards, and increase access to data for reporting and case management needs.

0.5 Scope

Financial Management
• Attorney/Provider reimbursement claims
• Payment schedule
• Audit functions
• Payment tracking
• Paperless system
Case Management – Trial Practice (internal / external providers)

• 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
• Log communications including SMS and email.
• Calendaring.
• Conflict checks that catches different spellings.
• Redacting.
• Store digital evidence including video, jpeg, and audio files.
• Store multiple addresses and phone numbers for a client.
• Reflect whether a client is in jail, out of custody, at the OSH, or in Prison.
• Communicate with ecourt to populate basic case info.
• Notes function;

- Document generation for a case (standard templates for documents they file and letters for phases of the case).
- Document Management and Automation

Case Management – Appellate Division

- Document generation for a case (standard templates for documents they file and letters for phases of the case.
- Case Details
- Case Processing
- Search for clients and case types
- Document Management and Automation
- Comprehensive Data Collection
- Attorney Caseload
- Attorney Oversight
- Timekeeping
- Conflict checking
- Calendaring for tracking deadlines, appointments, and events
- Rules-based calendaring (court rules imported to automatically calculate due dates)
- Task management
- Workflow processes
- Track communication
- Email management
- Store digital evidence including video, jpeg, and audio files.
- Store multiple addresses, email addresses, and phone numbers for a client
- Reflect whether a client is in jail, out of custody, at the Oregon State Hospital (OSH), or in prison.
- Communicate with ecourt to populate basic case information.
- Notes function.
- Ability to create documents with e-signing function.
- Contact tracking for contacts who are not clients.
- Automation with workflows, documents, forms

Reporting

- System canned reports
- System ad hoc reports
- Direct database access via PowerBI (other) platforms for custom reporting

Time Tracking

- Attorney, Non-Attorney, Internal/External Providers Time Tracking ability by case or client.

1. In Scope

- Procure a new integrated financial and case management system (FCMS).
- Procure associated hardware to support FCMS.
- 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 FCMS.
- FCMS business processes documentation (i.e., “as is”; “to be”).
- 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.
- External quality assurance engagement.
- Robust internal / external project communication.
- Regular project reports to Legislative Fiscal Office LFO.
- Maintain current technical tools (i.e., databases; spreadsheets) with limited or no changes until FCMS becomes operational.
- Configuration management process.
- Engaged governance structure (i.e., steering committee; executive sponsors).
- FCMS will be accessible to authorized internal and external users.
- FCMS stakeholder engagement.
- Internal email / instant messages for communications within FCMS.
- Integration with Microsoft communication systems and FCMS.
- Review all duplicated forms and ancillary systems for in scope work and or deprecation for future phases.
- Payments to vendors. (new)
- Definition of case management standards.
- Development and negotiation of new contracts with providers.
- Management of the legal contractual dynamic between OPDC and vendors.
- System determination of attorney qualifications on case assignments.
- FCMS system will not analyze outcomes of collected data.
- Non-FCMS related stakeholder engagement.
- Identification of contract rates for providers.
- A completely automated vendor payment system.

2. Out of Scope

- Ability to electronically file circuit or appellate court documents directly from FCMS.
- Ability for OPDC to maintain a vendor or migrate to an employment relationship when there is a provision of indigent defense.
- 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 (e.g., 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.

0.6 Milestones & Deliverables

Start and end dates for milestones, like project phases and corresponding deliverables “products” will be created (e.g., technical manual, test scripts) with the support of the procured Quality Assurance Vendor (QA vendor selection expected to be made (date)

MS	Del	Task	Target Delivery
Yes	Y	Develop Project Charter.	Q1 2024
Yes		Identify stakeholders and collect requirements.	Q1 2024
Yes	Y	Define Scope Statement.	Q1 2024
Yes	Y	Create Work Breakdown Structure (WBS).	Q1 2024
Yes	Y	Develop Project Management Plan.	Q1 2024
Yes	Y	Define Activity List.	Q1 2024
Yes		Sequence Activities.	Q1 2024
Yes		Estimate Activity Resources.	Q1 2024
Yes		Estimate Activity Durations.	Q1 2024
Yes	Y	Develop Schedule.	Q1 2024
Yes		Estimate Costs.	Q1 2024
Yes	Y	Determine Budget.	Q1 2024
Yes	Y	Plan Quality Management.	Q1 2024
Yes	Y	Plan Resource Management.	Q1 2024
Yes	Y	Plan Communications Management.	Q1 2024
Yes	Y	Plan Risk Management.	Q1 2024
Yes	Y	Identify Risks.	Q1 2024
Yes	Y	Perform Qualitative Risk Analysis.	Q1 2024
Yes	Y	Perform Quantitative Risk Analysis.	Q1 2024
Yes	Y	Plan Risk Responses.	Q1 2024
Yes	Y	Plan Procurement Management.	Q2 2024
Yes	Y	Plan Stakeholder Engagement.	Q2 2024
Yes	Y	Governance Gate: Project Initiation Review.	Q2 2024
Yes	Y	Direct and Manage Project Work.	Q2 2024
Yes		Manage Project Knowledge.	Q2 2024

Yes		Manage Quality.	Q2 2024
Yes		Acquire Resources.	Q2 2024
Yes		Develop Team.	Q2 2024
Yes		Manage Team.	Q2 2024
Yes		Manage Communications.	Q2 2024
Yes		Implement Risk Responses.	Q2 2024
Yes	Y	Conduct Procurements.	Q2 2024
Yes		Manage Stakeholder Engagement.	Q2 2024
Yes		Monitor and Control Project Work.	Q2 2024
Yes		Perform Integrated Change Control.	Q2 2024
Yes		Validate Scope.	Q2 2024
Yes		Control Scope.	Q2 2024
Yes		Control Schedule.	Q2 2024
Yes		Control Costs.	Q2 2024
Yes		Control Quality.	Q2 2024
Yes		Control Resources.	Q2 2024
Yes		Monitor Communications.	Q2 2024
Yes		Monitor Risks.	Q2 2024
Yes		Control Procurements.	Q2 2024
Yes		Monitor Stakeholder Engagement.	Q2 2024
Yes	Y	Governance Gate: Planning Review.	Q2 2024
Yes	Y	Develop System Specifications Document.	Q2 2024
Yes	Y	Develop Governance Framework Document.	Q2 2024
Yes	Y	Create Data Security and Privacy Plan.	Q2 2024
Yes	Y	Develop Request for Proposal (RFP) Document.	Q2 2024
Yes		Distribute RFP to Qualified Vendors.	Q2 2024
Yes		Evaluate Vendor Proposals.	Q2 2024
Yes		Select System Vendor.	Q2 2024
Yes	Y	Contract Negotiation and Signing.	Q2 2024

Yes	Y	Develop System Design Document.	Q2 2024
Yes		Review and Approve System Design.	Q2 2024
Yes	Y	Develop Training Program for Users.	Q2 2024
Yes		System Development by Vendor.	Q2 2024
Yes		Progress Review Meetings with Vendor.	Q2 2024
Yes		Change Management Implementation.	Q2 2024
Yes		System Testing in Staging Environment.	Q2 2024
Yes		Issue Resolution and Re-testing.	Q2 2024
Yes	Y	Regulatory Compliance Verification.	Q2 2024
Yes		Prepare Production Environment.	Q2 2024
Yes	Y	Conduct User Training Sessions.	Q3 2024
Yes	Y	Data Migration to New System.	Q3 2024
Yes		Data Integrity and Accuracy Verification.	Q3 2024
Yes	Y	User Acceptance Testing (UAT).	Q3 2024
Yes		Resolve UAT Feedback Issues.	Q3 2024
Yes	Y	Finalize Operational Documentation.	Q4 2024
Yes		Governance Gate: Design Review.	Q4 2024
Yes	Y	Production Environment Deployment.	Q4 2024
Yes		Post-Deployment Monitoring for Issues.	Q4 2024
Yes	Y	Establish System Maintenance Plan.	Q4 2024
Yes		Post-Implementation Review Meeting.	Q4 2024
Yes	Y	Finalize Issue Resolution Post-Deployment.	Q4 2024
Yes	Y	Operational Handover.	Q4 2024
Yes		Develop System Enhancement Plan.	Q4 2024
Yes	Y	Ongoing Compliance with Governance Framework.	Q4 2024
Yes		Monitor System Utilization and Gather Feedback.	Q1 2025
Yes		Periodic System Performance Reviews.	Q1 2025
Yes		Implement System Enhancements/Updates.	Q1 2025
Yes	Y	Update System Documentation Regularly.	Q1 2025

Yes	Y	Ongoing User Training and Support.	Q1 2025
Yes	Y	System Issue and Request Management Process.	Q1 2025
Yes	Y	Review and Update Governance Documents.	Q1 2025
Yes		Governance Gate: Implementation Review.	Q2 2025
Yes		Plan for Future System Scalability.	Q2 2025
Yes		Integrate with Other Systems if Required.	Q2 2025
Yes		Continuous Improvement Plan for System.	Q2 2025
Yes	Y	Establish Key Performance Indicators (KPIs).	Q2 2025
Yes	Y	Regular Reporting to Stakeholders.	Q2 2025
Yes	Y	Annual System Audit.	Q3 2025
Yes	Y	Update Risk Management Plan.	Q3 2025
Yes	Y	Review and Adjust Project Management Plan.	Q3 2025
Yes		Stakeholder Engagement Review and Update.	Q3 2025
Yes	Y	Lessons Learned Documentation.	Q4 2025
Yes		Governance Gate: Post-Implementation Review.	Q4 2025
Yes	Y	Project Closure Document.	Q4 2025
Yes	Y	Formal Project Closure and Stakeholder Sign-off.	Q4 2025

0.7 Major Known Risks

1. Risk Description

The most current risks identified and rated by Hittner are included in a comprehensive rated report (see appendix Hittner FCMS Project Risk Report April 2024). See below for the overall current Project Status rating for FCMS by Hittner & Associates.

Project Status & Risk Rating	**Risk Rating**
Project Health	**Medium**
Budget	**Medium**
Schedule	**Medium - High**
Scope/Quality	**Medium**
Resources	**Med**

2. Assumptions

All stakeholders must be mindful of the assumptions identified for the FCMS 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:

- FCMS is the official system for OPDC staff and contracted providers.
- Sufficient staff from OPDC, OJD, and the selected vendor are available to fully support the FCMS 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 OPDC and OJD and DAS
- Operational Leadership Team will assist in review of formal project documentation.
- OPDC, OJD, and the selected vendor assist in coordination of interface testing efforts with stakeholders.
- OPDC, OJD, and Steering Committee participate in FCMS User Acceptance Testing.
- OPDC team members respond promptly to FCMS correspondence requests; participate in FCMS training; and actively engage in Go-Live activities.
- Steering Committee respond promptly to FCMS correspondence requests; participate in FCMS training; and engage in Go-Live activities.
- Oregon Legislature funds the project.
- External providers must use the FCMS if possible

0.8 Constraints

It is imperative that considerations be made for the identified constraints of the FCMS 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 at both OPDC and OJD.
- Hybrid Work Approach – Project must work with various stakeholders across multiple Hybrid Schedules – In Person, and remote utilizing MS Teams, Hood Conference Room at OPDC and limited meeting space in person.

0.9 External Dependencies

Project Dependencies are as follows:

- Contract continuation with Oregon Judicial Department for IT and Project Support.
- Legislative funding support for project implementation.
- Planned for Release date in December 2024.
- Will utilize DAS IT EIS resources, and DOJ Procurement Resources.

Project Governance

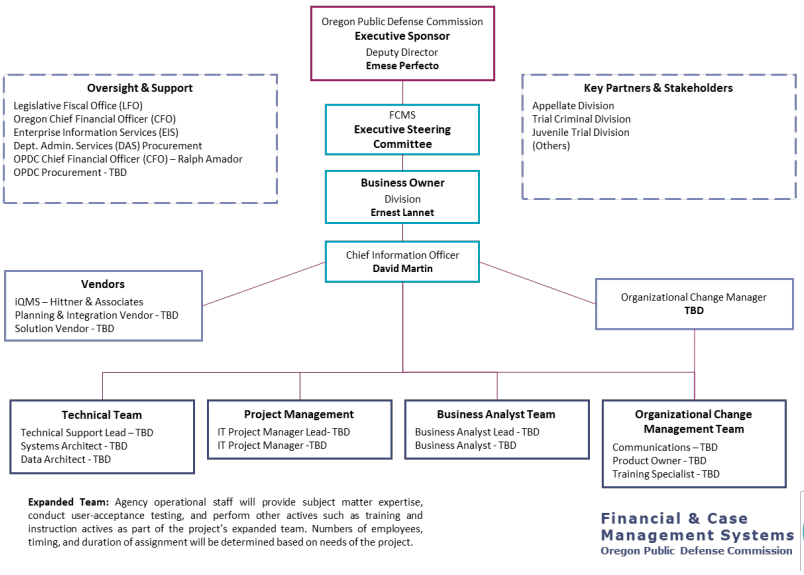
0.10 Project Governance Roles & Responsibilities

Role	Member(s)	Responsibility
Operational Leadership	Jessica Kampfe	Governance Committee Provides oversight to the projects decision making process. Ensures all project decisions are made by the Governance Committee in meetings with voting rights along with the two sponsors.
CFO	Ralph Amador	Governance Committee Overall accountability for the success of the FCMS Project. Works with the Executive Leadership Team to remove obstacles and barriers and ensure successful implementation of project. Monitor and approve project deliverables. Provide updates to stakeholders
Chief Deputy Director	Emese Perfecto	Executive Sponsor Overall accountability for the success of the FCMS Project. Works with the Executive Leadership Team to remove obstacles and barriers and ensure successful implementation of project. Monitor and approve project deliverables. Provide updates to stakeholders
Chief Defender, Criminal Appellate Section • AD	Ernest Lannet	Sponsor & FCMS Business Owner Overall accountability for the success of the FCMS Project. Works with the Executive Leadership Team to remove obstacles and barriers and ensure successful implementation of project. Monitor and approve project deliverables. Provide updates to stakeholders
CIO	David Martin	Governance Committee Provides oversight to the projects decision making process. Ensures all project decisions are made by the Governance Committee in meetings with voting rights along with the two sponsors
General Counsel	Eric Deitrick	Governance Committee Provides oversight to the projects decision making process. Ensures all project decisions are made by the Governance Committee in meetings with voting rights along with the two sponsors
Chief Deputy Defender - Appellate	Kali Montague	Governance Committee Provides oversight to the projects decision making process. Ensures all project decisions are made by the Governance Committee in meetings with voting rights along with the two sponsors

0.11 Project Governance Organizational Chart

Financial & Case Management System

Project Organizational Chart



Expanded Team: Agency operational staff will provide subject matter expertise, conduct user-acceptance testing, and perform other actives such as training and instruction actives as part of the project's expanded team. Numbers of employees, timing, and duration of assignment will be determined based on needs of the project.

Financial & Case Management Systems
Oregon Public Defense Commission

3

FCMS & Transition

Labor Timeline

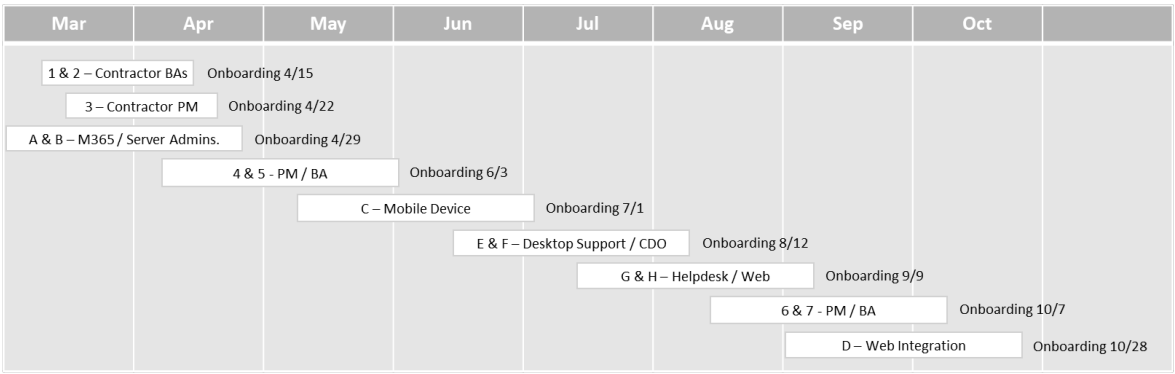
- April Hires
- July Hires

Order	FCMS Contractor Position
1	Business Analyst
2	Business Analyst
3	Project Manager

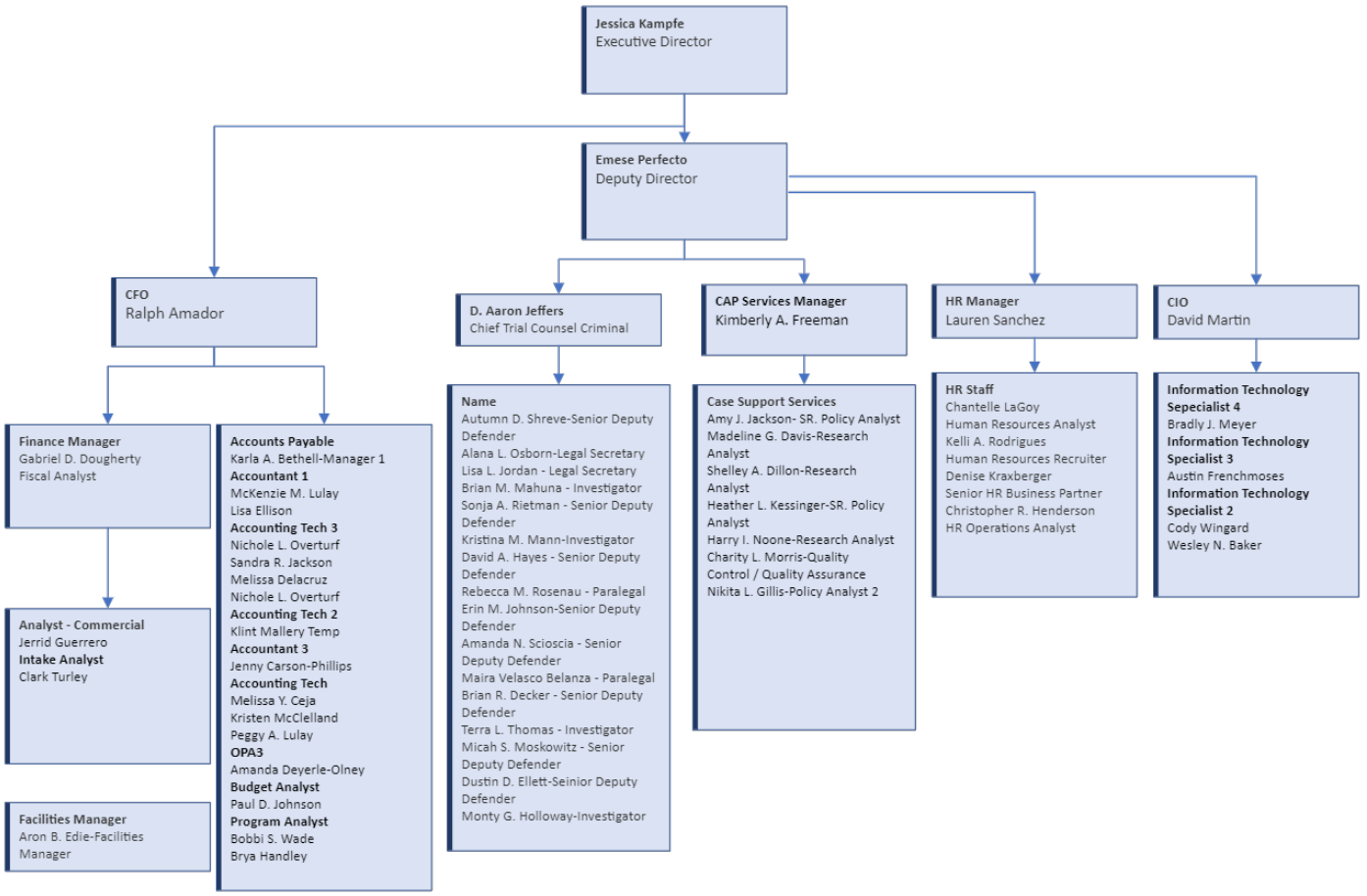
Order	FCMS Staff Position
4	Project Manager (OPA3)
5	Business Analyst (OPA2)
6	Business Analyst (OPA2)
7	Project Manager (OPA3)

Order	FCMS Contractor Position
A	M365 Administrator (ITS4)
B	Server Administrator (ITS4)
C	Mobile Device (ITS3)
D	Web Integration (ITS3)

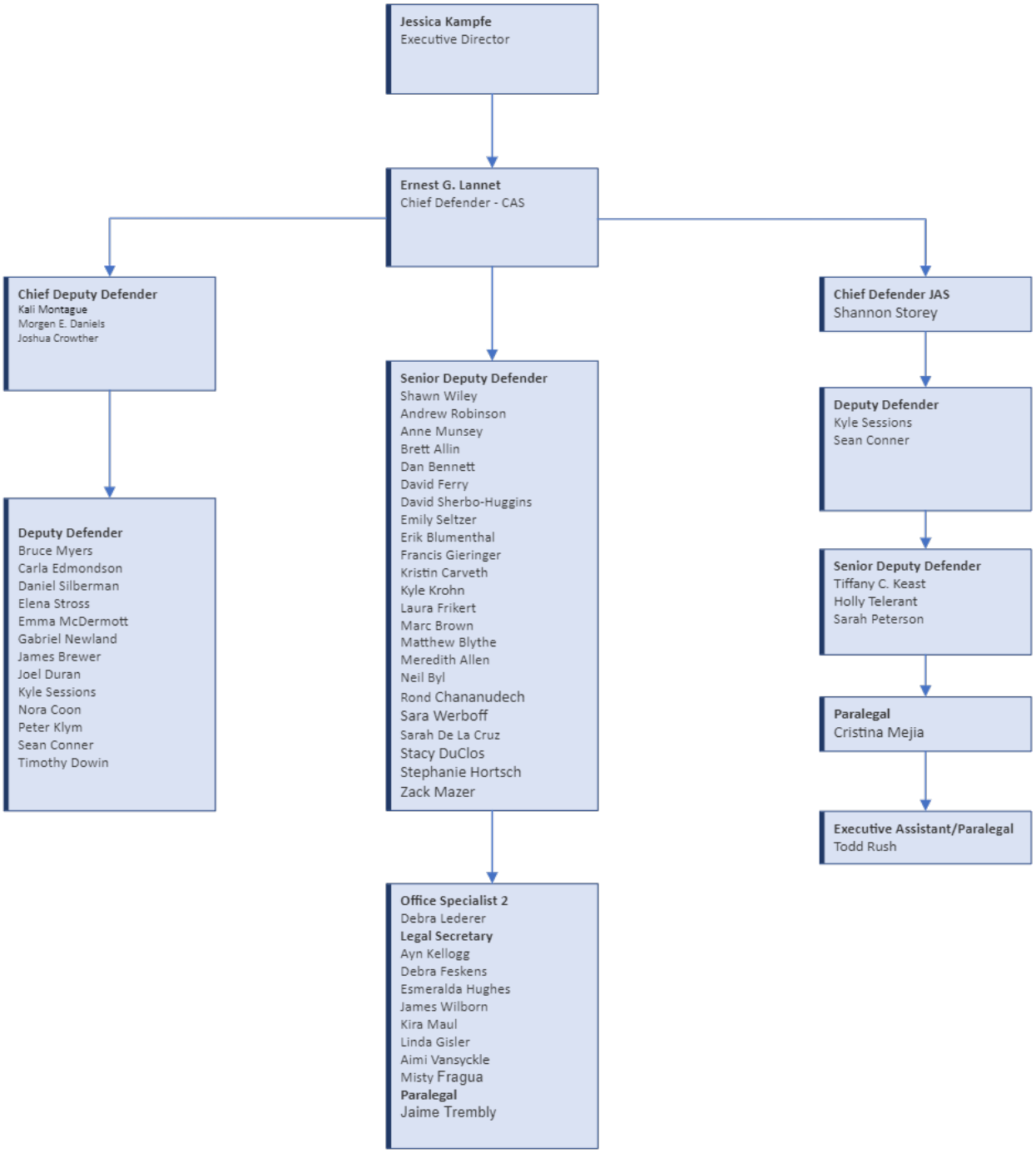
Order	FCMS Staff Position
E	Desktop Support (ITS2)
F	Chief Data Officer (MGR3)
G	Helpdesk (ITS1)
H	Web (ITS3)



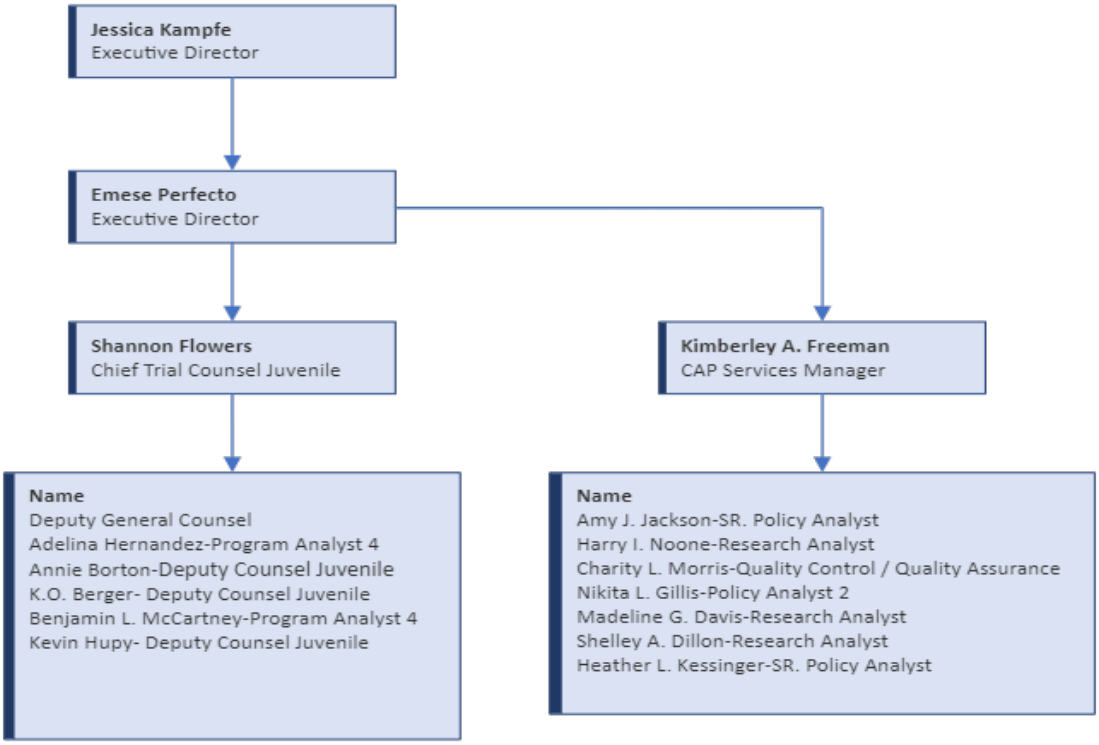
Administrative Services
*Approximate Organizational Chart



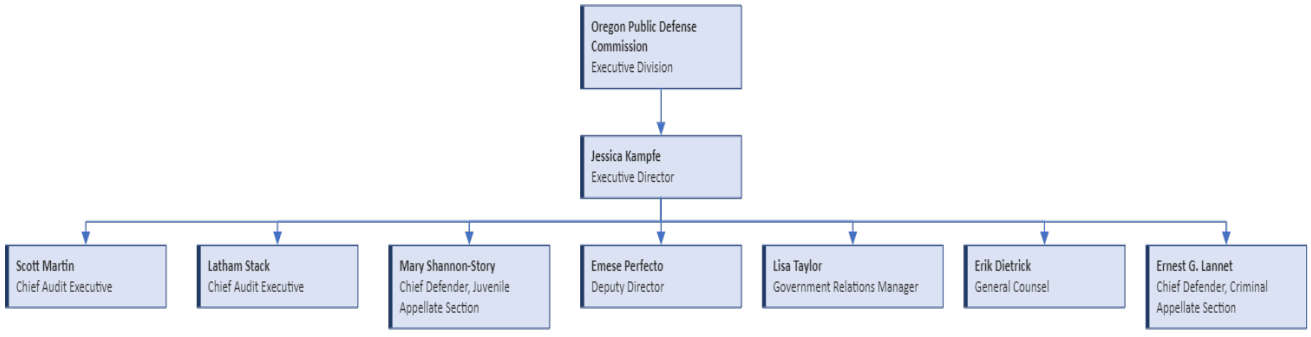
Appellate Services Division
Organizational Chart

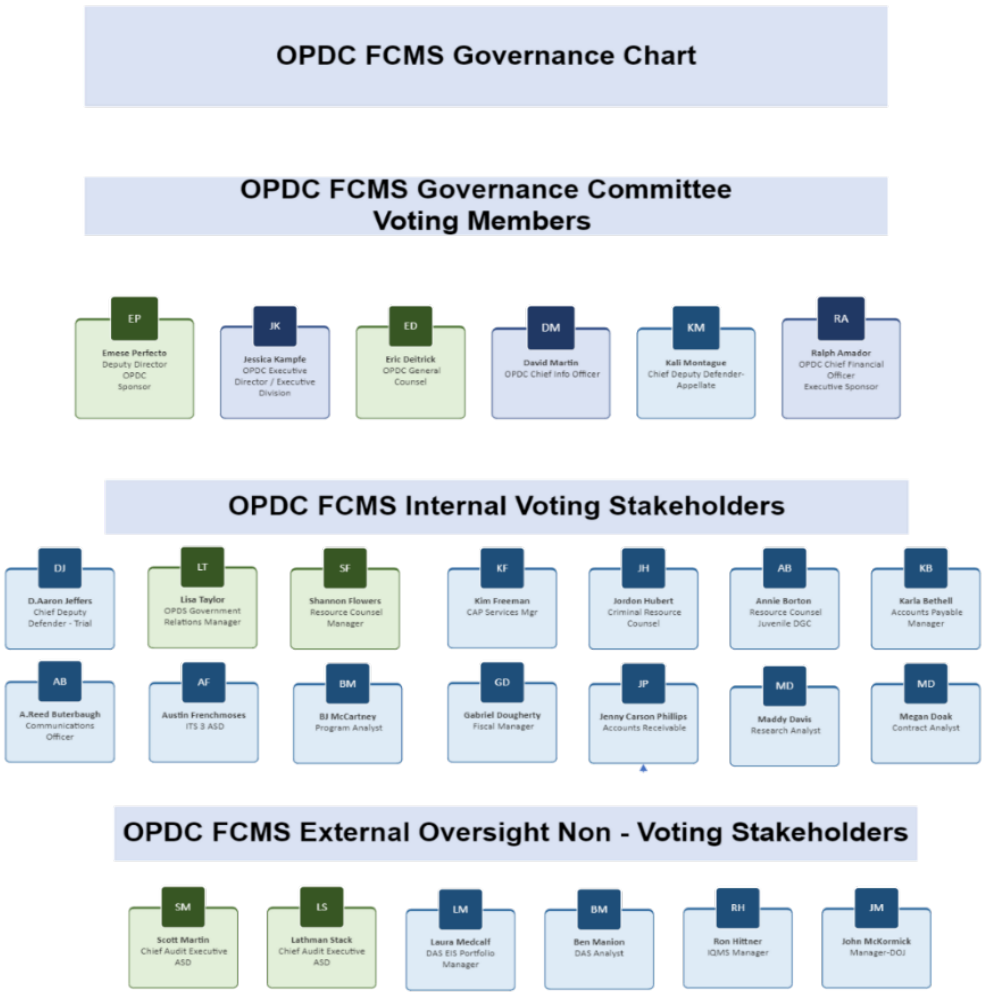


Compliance, Audit and Performance Division
Organizational Chart



Executive Services Division
Organizational Chart





0.12 Executive Steering Committee (ESC)

The OPDC FCMS Organizational Chart depicts the various internal and external stakeholder representatives that make up the program's Executive Steering Committee. The ESC is responsible for providing guidance and oversight to the program through issue resolution and change control processes. They will support the program's objectives and make key approval decisions regarding OPDC FCMS budgetary and scope changes.

**Under review currently to staff a Steering Committee*

0.13 Governance Roles and Responsibilities

Table 1 OPDC FCMS Governance Roles & Responsibilities

Role	Responsibility
Executive Sponsor	• The Chief Financial officer acts as the Executive Sponsor for the program • Approves major scope, budget, and schedule change decisions and resolves escalated issues and risks
Business Owner	• Helps define the program's vision and strategy • Makes strategic decisions and removes political and business-related roadblocks
OPDC Chief Financial Officer	• Acts as the primary liaison between OPDC Business Services and the program as well as DOJ services as needed for oversight. • Serves as a standing member of the Risk Management Team and voting member of the Change Control Board
OPDC Chief Information Officer	• Acts as the primary liaison between OPDC Information Services and the program • Serves as a standing member of the Risk Management Team and voting member of the Change Control Board
IT Project Managers	• Oversee the management of protocols for risk management, issue resolution, change control, action item log, and scope control • Serve as standing members of the Risk Management Team and voting members of the Change Control Board
Project Manager	• Serves as a voting member of the Change Control Board • Supports the IT Project Managers in management of protocols for risk management, issue resolution, change control, and scope control
Business Analyst Lead	• Serves as a voting member of the Change Control Board • Provides business analysis expertise and insight to change request discussions • Leads the program's Business Analyst Team
Business Analysts	• Serve as voting member of the Change Control Board
Technical Lead	• Serves as a voting member of the Change Control Board • Provides technical expertise and insight to change request discussions • Leads the program's Technical Team
Organizational Change Manager/IT Manager 1	• Serves as a voting member of the Change Control Board • Provides organizational change management insight for change request discussions • Manages the OCM and Business Analyst teams
Product Owner	• Serves as a voting member of the Change Control Board • Provides insight to change requests relating to requirements and business value • Makes scope change decisions categorized as very low
Communications Specialist	• Serves as a voting member of the Change Control Board
Learning and Development Specialist	• Serves as a voting member of the Change Control Board • Provides training expertise and insight to change request discussions
Contracts Specialist (Agency)	• Serves as a voting member of the Change Control Board

	• Provides procurement and contract expertise and insight to change request discussions

Advisory and Other Roles

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

Table 2 OPDC FCMS Advisory & External Roles & Responsibilities

Role	Responsibility
Enterprise Information Services (EIS)	• Program quality assurance oversight • Reviews QA documents • Reviews quarterly QA reports • Oversight of the iQMS Contractor • 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 documents • Reviews quarterly QA reports • Participates in the Stage Gate review process • Takes direction from the State Legislature • Reviews and makes recommendations to the Legislature, who has the budgetary authority, regarding funding and timing of funding for the program

0.14 Decision Making Authority

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 OPDC FCMS Decision Making Authority Levels

Level 4 – ESC **Approves change requests rated High *see Change Request Management Plan (CRMP) for details***
Level 3 – Change Control Board/Governance Committee **Approves change requests rated Moderate *see CRMP for details*** **Reviews program status and plans**
Level 2 – Program Manager/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 – Product Owner **Approves change requests rated Very Low see CRMP for details**

Documenting Decisions

Program staff will capture decisions in the Decision Log located in the OPDC FCMS Program Smartsheet folder under Decisions.

Joint EIS/LFO Oversight Process

The LFO is a permanent nonpartisan legislative service agency that:

- Provides comprehensive research, analysis, and recommendations on the state's biennial budget
- Evaluates state expenditures, program administration, and agency organization
- Assists in developing the Legislature's adopted balanced budget
- Prepares fiscal impact statements on legislative measures
- Publishes detailed analyses, summary documents, and briefs on budget-related topics

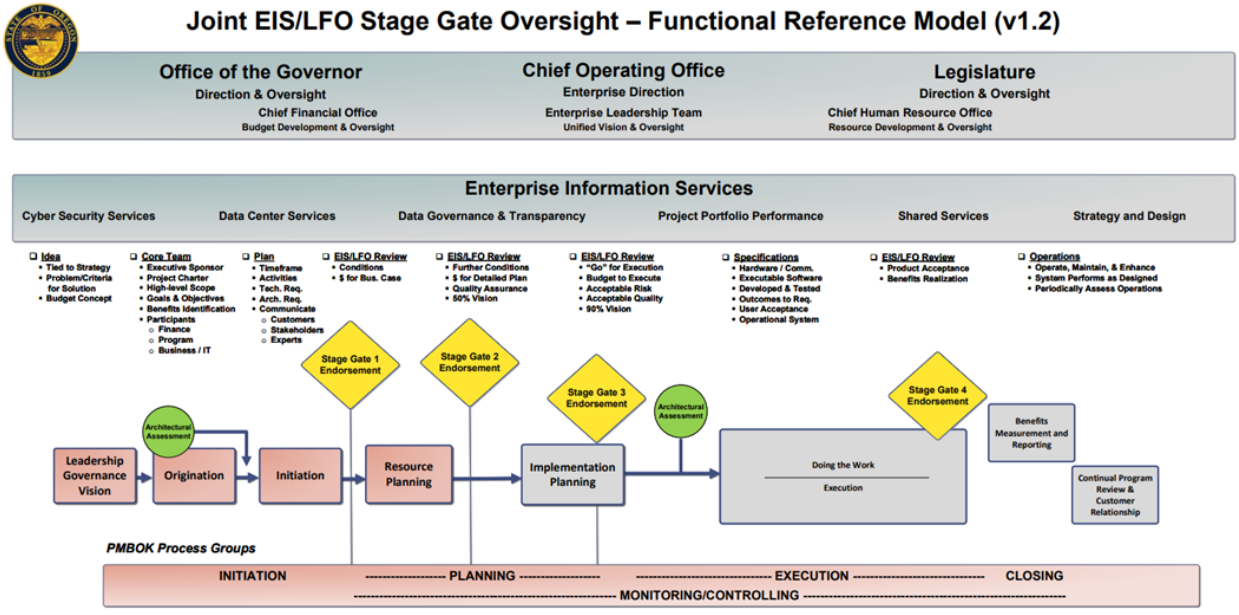
The LFO Legislative Analysts have responsibility for oversight of Oregon's IT programs, projects, and initiatives on behalf of Oregon's Legislative Branch. They review IT and budget documentation, and their primary role as it relates to OPDC FCMS is to understand and support program requests with recommendations to the JLCIMT and Joint Committee on Ways and Means.

The interaction between LFO and EIS and their oversight responsibilities are shown in the Joint EIS/LFO Stage Gate Oversight Reference Model.

EIS provides statewide IT leadership by:

- Maturing enterprise technology governance
- Leveraging investments in shared services
- Ensuring transparency
- Providing oversight
- Delivering secure and innovative solutions
- Overseeing IT investments
    - Providing project planning and quality assurance
    - Overseeing the implementation of the Stage Gate review process

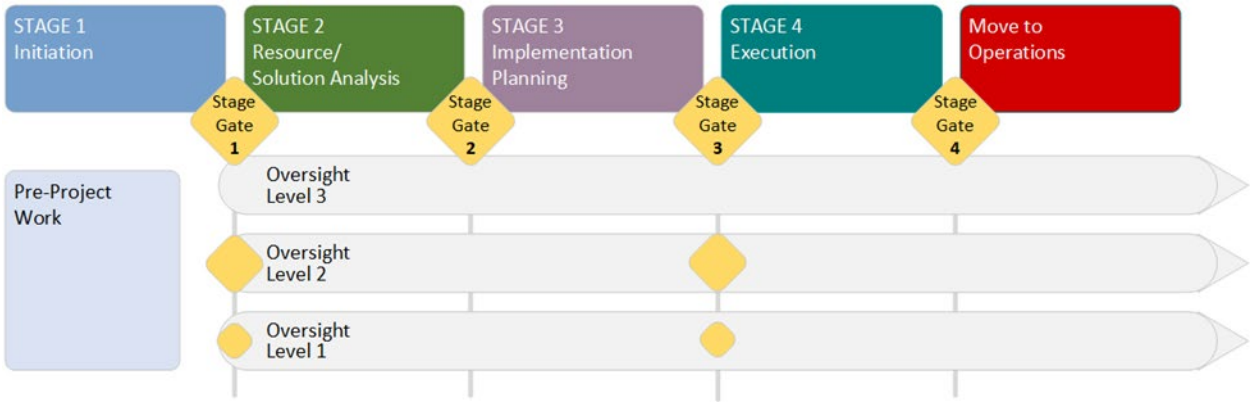
Figure 6 Joint EIS/LFO Stage Gate Oversight Reference Model



There are four (4) Stage Endorsements in the EIS/LFO Stage Gate Oversight process. EIS has latitude in interpreting the Stage Gate process as it applies to each IT investment. The artifacts that typically support each Stage are included in the Stage Gate Document List.

Figure 7 EIS Stage Gate Oversight Model

STAGE GATE OVERSIGHT MODEL



Stage 1: Origination & Initiation
Work activity to prepare for Stage Gate 1 endorsement corresponding to OPDC FCMS' initiation phase, where the program identifies project management and business analysis resources and prepares high-level project justifications and project initiation documents. Stage Gate 1 ends when EIS provides a Stage Gate 1 endorsement memorandum (which may contain conditions that must be satisfied before the next endorsement).

Stage 2: Resource and Solution Planning & Analysis
Work activity to prepare for Stage Gate 2 endorsement corresponding to OPDC FCMS' resource and solution analysis planning. Stage 2 ends when EIS provides a Stage Gate 2 endorsement memorandum (which may contain conditions that must be satisfied before the next endorsement).
This stage is expected to be completed before DOJ begins a formal Request for Proposals (RFP) process to procure the project's Solution Contractor (also known as the System Integrator, Implementation Contractor, Design-Development-Implementation (DDI) Contractor, etc.).
Independent Quality Control review of planning artifacts will occur prior to Stage Gate 2 endorsement by the OPDC FCMS iQMS vendor.

Stage 3: Implementation Planning
Work activity to prepare for Stage Gate 3 endorsement corresponds to OPDC FCMS' detailed implementation planning. Upon approval, EIS will provide a Stage Gate 3 endorsement memorandum (which may contain conditions that must be satisfied before the next endorsement). At the time of Stage Gate 3 endorsement the scope, schedule, and budget baselines are set for the project.
During implementation planning:

- OPDC FCMS submits monthly project status reports to EIS
- OPDC FCMS develops substantial details about the specific implementation approach that will be used to execute each project
- OPDC FCMS will release an RFP for requisite solution vendor services
- Project planning documents are revised to establish scope, schedule, and budget baselines
- The detailed PMP is updated as appropriate vendor services are procured and as needed, throughout the remainder of the project lifecycle

OPDC FCMS may not begin project execution work before receiving Stage Gate 3 endorsement from EIS.
From the perspective of the OPDC FCMS' authorized budget, Stage Gate 3 endorsement may be needed to support the release of funding for each project's execution.

Stage 4: Execution
Work activity to prepare for Stage Gate 4 endorsement corresponds to OPDC FCMS' project execution, where DOJ implements the plans that were developed in Stages 1, 2, and 3, delivers the functionality described in the project requirements documents and vendor Statement(s) of Work, and prepares project tracking and close-out artifacts.

During execution:

- OPDC FCMS submits monthly project status reports to EIS
- Any change to scope, schedule, or budget baselines of +- 10% requires submission of updated project artifacts and re-endorsement from EIS
- Independent Quality Management Services (iQMS) is engaged, iQMS deliverables will be shared with the people identified in statute (ORS 276A.223(5)(a)) and uploaded into the EIS PPM tool after acceptance. The scope of reviews must include items identified under EIS statewide policy 107-004-030 in the General Requirement section, #8

At each project's close, EIS will provide a Stage Gate 4 endorsement memorandum (which may contain conditions that must be satisfied). Stage 4 endorsement will rely on appropriate transition and operations/maintenance planning, lessons-learned and close-out documentation.
OPDC FCMS has a Change Control Board consisting of program and project management, program leadership, and key representatives from impacted areas. The purpose of the Change Control Board includes:

- Identify, propose, and help vet solutions to critical program issues via the change request process.
- Serve as vetting group for issues beyond the program team's ability to resolve by consensus.
- Ensure all change requests and change proposals affecting project scope, schedule and/or budget are evaluated.
- Discuss mitigation plans for any functionality needed for deployment success outside of the original program scope/plan.
- Provide functional or technical expertise and represent each respective functional or technical area.

The Executive Sponsors are responsible for ensuring that the stakeholders as defined by the 6th Amendment Center (6AC) study 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:

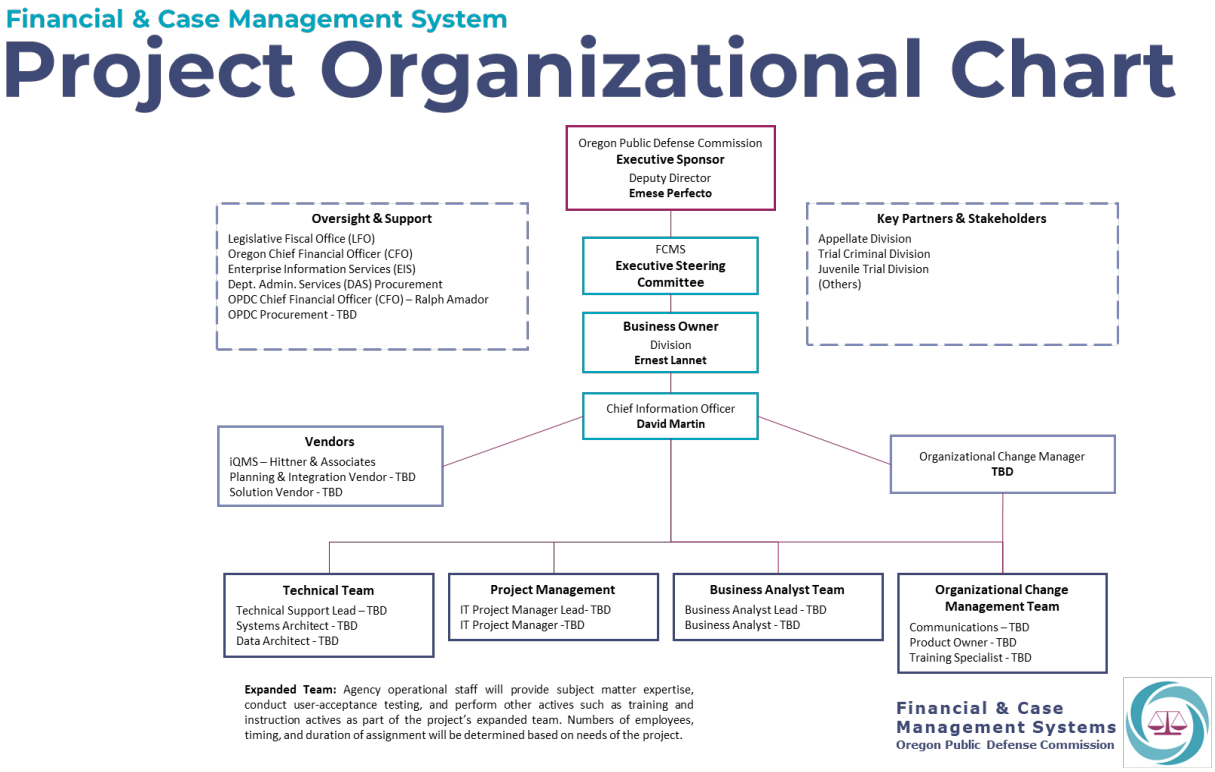
- Be champion leaders of the project
- Have accountability for the project and ongoing accountability for the outcomes
- Advocate the project internally and externally
- Obtain funding for the project
- Accept responsibility for addressing problems escalated from the project Director/Manager/Team
- Approve 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, Governance Committee, Internal and External Stakeholders is provided in ***APPENDIX A below***. The charter describes the role, membership, responsibilities, and operations of the Executive Sponsors.

FCMS Executive Sponsors & Governance Steering Committee			
Ralph Amador	Chief Financial Officer	OPDC CFO / Finance	Governance Committee/Steering Committee
Emese Perfecto	Deputy Director	OPDC Agency	Executive Sponsor
Ernest Lannet		OPDC AD Agency	FCMS Business Owner/ Governance Committee/Steering Committee
Eric Deitrick	General Counsel	OPDC Agency	Governance Committee/Steering Committee
Jessica Kampfe	Executive Director	OPDC Agency	Governance Committee/Steering Committee
Kali Montague	Chief Deputy Defender-Appellate	Appellate Division	Governance Committee/Steering Committee
David Martin	Chief Information Officer	OPDC Tech	Governance Committee/Steering Committee

Internal Stakeholder	Role / Position	Functional Area	Project Title	SME Manager
Annie Borton	Resource Counsel Juvenile DGC	Juvenile Resource Counsel	Legal SME	Shannon Flowers
D.Aaron Jeffers	Chief Deputy Defender - Trial	Trial Division	Legal SME	Emese Perfecto
BJ McCartney	Program Analyst	Provider Reimbursement	SME Provider Reimbursement	Shannon Flowers
Jordan Hubert	Criminal Resource Counsel	Criminal Resource Counsel	Legal SME	Shannon Flowers
Karla Bethell	Accounts Payable Manager	Accounts Payable	Finance SME	Ralph Amador
Gabriel	Accounts Receivable	Accounts Receivable	Finance SME	Ralph Amador
Megan Doak	Contract Analyst	Contract Analyst - Trial Div	Contracts SME	Shannon Flowers
Austin Frenchmoses	Network / Dev Ops	IT Network	SME Network & Dev Ops	David Martin
Maddy Davis	Research Analyst	Reporting & Data	SME Reporting / Data	Kim Freeman CAP Services Mgr
Kim Freeman	CAP Services Mgr	CAP Services Mgr Data	SME Data	Emese Perfecto
A.Reed Buterbaugh	Agency Communications Officer	Communications	SME communications Public Defense	Lisa Taylor Gov Relations Mgr

Figure 8 OPDC FCMS Project Stakeholders Organizational Chart



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0.15 Governance Steering Committee

The primary function of the project Governance 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 OPDC 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 Governance Steering Committee provides a stabilizing influence so organizational concepts and directions are established and maintained with a visionary view aligned with the OPDC mission. The Governance 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:

0.16 Stakeholder Interest Groups

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.

External Stakeholder	Job Title	Function
Ron Hittner	IQMS Manager	Reporting / External Oversight of Quality
Laura Medcalf	DAS EIS Portfolio Manager	Dept of Admin Services & Stage Gate - Review Oversight Level Maturity & Complexity
Ben Manion	DAS Analyst	Dept of Admin Services Analyst - Review Charter & Business Case
John McKormick	Manager-DOJ	DOJ's Business Transactions Sections, who are experts in IT contracts
Lathman Stack	OPDC Chief Audit Executive	Audit Executive Division
Scott Martin	OPDC Chief Audit Executive	Audit Executive Division
Lisa Taylor	OPDC Government Relations Manager	Sends reports to state legislators

Project Communication Plan Overview

0.17 Overview

Project Manager is responsible for the following:

- Ensure timely communication to team members including general communication and scheduling of project team meetings when necessary.
- Complete a weekly project status report and send the completed report to the OPDC Project Office. New risk or issues will be reviewed and escalated to sponsor(s) by OPDC Project Office when required.
- Communications will also be streamlined in the following logistical project meetings where status, and weekly project work will be communicated depending.

Project Meetings for Communications as follows:

1. Steering Committee bi-weekly (FCMS) 1 hr. (Sponsors & SME's)
2. SME Project RFP Working Sessions: 2 sessions per week 1-2hr (AR/AP, Data, IT, Legal)
3. SME 15min Stand-Up: Tues (All) and Thursday (when project is fully staffed).
4. SME ASANA Task Check In: Monday morning 30 min (new tool selected and approved for project wbs).
5. SME Project General Working Sessions: 2 sessions per week 1-2hr as determined after WBS is finalized. (AR/AP, Data, IT, Legal)

Note: When critical issues arise that require immediate guidance from leadership, please report these to your department sponsor, project executive steering committee in 2x a week stand-ups, bi-weekly status meetings, or the Project PMO work office onsite T/W, and or our Digital FCMS teams channel.

OPDC FCMS Full Communication Plan and Matrix will be developed and included in the official Project Mangement Plan document. (See Appendix B)
Communication Deliverables:

- Weekly FCMS PM Status Reports on Fridays
- WBS Status updates in SME Project Team Meetings – Mondays
- Public Defender's Office Communications – In Progress
- External Communications – Will be handled by A. Reed
- IQMS engaged for quality check of deliverables in communications.
- A. Reed – Agency Communications Officer guiding communications effort

Project Appendix

Appendix A Organizational Charts:
OPDC FCMS Governance Chart.vsdx

FCMS Organizational Chart - Copy.vsdx (sharepoint.com)

Appendix B Communication Plan:

Communication Plan- OPDC FCMS Project.docx

Sign - Off

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

Project Sponsor Date

Project Sponsor Date

Project Charter Feedback

Name	Date	Revision Request

HITTNER & ASSOCIATES

Periodic Quality Status Report #6

February 2024 (for the period 1/1/24 – 2/29/24)

Deliverable 3.3.6

Version 0.6

Financial and Case Management System (FCMS) Project

Public Defense Services Commission

Office of Public Defense Services

March 5, 2024

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Revision Description

Document Revision History		
Date	Version	Description
March 5, 2024	0.6	Formal Deliverable Submission

1. Executive Summary

This is the Periodic Quality Status Report for the Financial and Case Management System (FCMS). It contains the results of our independent evaluation of project health, as well as an ongoing compilation of Hittner & Associates activities on the project.

The project health measurements and assessments for the FCMS Project are represented by the following:

Risk Rating	Description
Low	This project exhibits the low risk cue, or appears to have no risks in this area.
Low-Medium	This project exhibits a relatively even mix of low and medium risk cues.
Medium	This project exhibits the medium risk cue, or something similar in threat.
Medium-High	This project exhibits a relatively even mix of medium and high risk cues.
High	This project exhibits the high risk cue, or something similar in threat.
N/A	This factor is not applicable to this project.
TBD	The project is not far enough along to assign a rating; the Project Team or Hittner & Associates needs to review the quality standard at a later time.

Overall assessment findings will include trending information to provide an at-a-glance view of the likely trajectory of activities based on past performance. Trending will be identified as follows:

Trend	Definition
Risk Decreasing	Activities are improving
Stable	Activities are remaining steady
Risk Increasing	Activities are deteriorating

1.1 Project Status & Health

Project Health			
Current Rating	M-H	**Trending**	**Risk Decreasing Slightly**
Previous Rating	M-H		

As of February 2024, Hittner & Associates rates the overall project health as having a Medium-High Risk profile but trending in a more positive direction due to filling the agency's Chief Information Officer (CIO) position as well as hiring two project managers. Procurement activities were paused in December as the Project looked to reset due to questions on the quality of the draft RFP that was created to procure an FCMS solution and vendor, as well as significant changes to Project team makeup. Procurement activities have restarted as of the end of February.

The Project has defined requirements but those requirements will need to be revisited prior to releasing an RFP, RFQ or RFI to potential vendors for a Commercial-Off-The-Shelf (COTS) solution that would best satisfy the requirements and best serve all stakeholders. The solution would be hosted by the chosen vendor. The new project managers are putting together a plan of activities for requirements review.

As a general restart takes place, a key project activity for the Project Team is to assemble a procurement schedule from the ground up and ensure that it includes all procurement tasks, duration for each task, and resources assigned to each task. The detailed schedule should then be communicated to all stakeholders who have a role in the procurement phase.

Key legislation passed (SB 337 and SB5506) in the 2023 Legislative session includes direction for OPDC to become part of the Executive Branch. Activities for this are underway and full transition will complete by January 1, 2025. While not having a direct effect on the project in the near term, this activity could have an indirect impact on the project by taking resource time away from project activities to focus on transition activities. Also, a pilot is being implemented for some in-house trial attorneys (split between southern Oregon and Portland, with a possible third location in Salem) and that requires an interim case management solution for these attorneys, which has been implemented. Coordination of this with the FCMS Project is very important as some resources (particularly technical support) may be asked to work on both activities.

Another change is the reformation of the Commission, which has completed and has had its first two meetings. The agency will have to decide (with the Commission) if any Commission members will be a part of the FCMS Governance Committee.

Following are breakdowns of specific measurement areas evaluated by Hittner & Associates for the FCMS Project.

Budget

Current Rating	M	**Trending**	**Stable**
Previous Rating	M		

The project budget was approved by the Legislature. Hittner & Associates rates this area as a Medium risk primarily due to possible increased cost for both implementation and hosting services due to inflation. However, the exact costs will be difficult to ascertain until proposals are received later in 2024.

Schedule			
Current Rating	H	**Trending**	**Stable**
Previous Rating	H		

Hittner continues to rate this area as a High risk as of February 29, 2024.

The Project Team will need to lay out a complete schedule for the procurement process that includes all tasks, necessary resources, and durations. The new project managers have begun working on this.

Scope/Quality			
Current Rating	M	**Trending**	**Stable**
Previous Rating	M		

The scope is understood by internal OPDS staff. Requirements review will be an important part of the draft RFP review in the coming month to ensure requirements are at an appropriate level of detail and prioritization to allow potential vendors to clearly describe how well their proposed solution satisfies OPDS needs with a new system. Hittner & Associates will monitor this area very closely in the coming months.

Resources			
Current Rating	M-H	**Trending**	**Risk Decreasing**
Previous Rating	H		

Hittner & Associates lowers the risk to Medium-High for this period as new personnel have just recently started work.

The previous co-Project Managers (PM's) left OPDS in November 2023. The new project managers started in early February and are working to get up to speed quickly and continue progress with the FCMS solution procurement.

The new Chief Information Officer also began work in February.

2.1 Task 1 – Risk Assessment

The Risk Assessment Task defines the iQMS Contractor tasks to support the FCMS Project's overall risk management efforts. The FCMS Project Team has the primary responsibility for executing the Project's risk management activities, with Hittner & Associates providing a supporting function. Within the Hittner & Associates' scope of providing quality management, quality assurance and quality control on the State Team's and Solution Contractor's plans, process, and products, the Hittner Team will also identify risks and provide recommendations for risk mitigation strategies. Hittner has performed an initial risk assessment (Deliverable 1.1 P1) on the FCMS Project and submitted it in January 2023.

The periodic risk report, showing the top risks identified and tracked by Hittner, is in Section 3.1 of this report.

Initial Risk Assessment Deliverable (Deliverable 1.1 P1)

Deliverable Title	Latest Version	Status
Project Risk Assessment Report	1.0	Submitted 3/16/23 (Approved)

Upcoming activities for March

Risk management and monitoring is an ongoing activity for Hittner and will continue throughout the life of the project. Hittner creates an Ongoing Risk Notification Report (see Section 3.1) and includes it with the Periodic Status Report and the Quarterly Status and Improvement Report.

2.2 Task 2 – Quality Planning

Hittner's Quality Planning approach relies heavily on our experience supporting large IT development and implementation projects. To develop a project plan and schedule, our planning efforts include decomposing all contract tasks to the activity level. The Quality Planning segment of the project establishes the groundwork for the tasks ahead by creating the Quality Standards – Operational Definition (2.1), Quality Management Plan (2.3), and Baseline QMS Work Plan (2.4).

Quality Planning Deliverables

Deliverable Number	Month	Latest Version	Status
2.1	Quality Standards – Operational Definitions Report	1.0	Submitted 3/16/23 (Approved)
2.3	Quality Management Plan	1.0	Submitted 3/16/23 (Approved)
2.4	Baseline QMS Work Plan	1.0	Submitted 6/5/23 (Approved)
2.5	Internal/External Presentations and Special Request		
2.6	Lessons Learned Report		

Upcoming activities for March

No Task 2 activities are planned for March.

2.3 Task 3 – Quality Control

The focus of the Quality Control task is the review of key project deliverables.

The table below identifies the Quality Control reviews of documents that Hittner currently has responsibility for reviewing. Each report the table will be updated with the status of Hittner's analysis of the applicable deliverables.

Quality Control Deliverables

Deliverable Number	Month	Latest Version	Status
3.1.1 P1	QC Review of Business Case	1.0	Submitted 3/16/23 (Approved)
3.1.2 P1	QC Review of Project Scope	1.0	Submitted 3/16/23 (Approved)
3.1.3 P1	QC Review of Project Governance Plan		
3.1.4.1 P2	QC Review of Project Charter		
3.1.4.2 P2	QC Review of Project Management Plan		
3.1.4.3 P2	QC Review of Communications Plan		
3.1.4.4 P2	QC Review of Change Management Plan		
3.1.4.5 P2	QC Review of Detailed Project Plan		
3.1.4.6 P2	QC Review of Requirements Traceability Matrix		

3.1.5 P2	QC Review of Project Management Plan and Schedule		
3.1.6 P2	QC Review of RFP components (including SOW, Requirements)		
3.1.7 P2	QC Review of Solution Contractor's Implementation Plan		
3.1.8 P2	QC Review of Solution Contractor's System Testing and UAT Testing Plan and Results		
3.1.9 P2	QC Review of Fit-Gap Analysis		
3.1.10 P2	QC Review of Solution Architecture		
3.1.11 P2	QC Review of Software Build and Release Plan		
3.1.12 P2	QC Review of System Interfaces and Integration Plan		
3.1.13 P2	QC Review of Data Migration and Conversion Plan		
3.1.14 P2	QC Review of Escalation Plan		
3.1.15 P2	QC Review of Disaster Recovery Plan		
3.1.16 P2	QC Review of Training Plan and Training Materials		

3.1.17 P2	QC Review of Operations and Maintenance Plan		
3.1.18 P2	QC Review of Contractor Staffing Plan		
3.2.1	Security Review and Sampling Plan		Option Reserved to the State
3.2.2	Security Review and Sampling Report(s)		Option Reserved to the State
3.3.1	Monthly Quality Status Report – January 2023	1.0	Submitted 3/16/23 (Approved)
3.3.2	Monthly Quality Status Report – February 2023	1.0	Submitted 6/6/23 (Approved)
3.3.3	Six-Week Quality Status Report – May 2023	1.0	Submitted 6/6/23 (Approved)
3.3.4	Six-Week Quality Status Report – August 2023	1.0	Submitted 9/28/23 (Approved)
3.3.5	Six-Week Quality Status Report – November 2023	1.0	Submitted 1/30/24 (Approved)

Upcoming activities for March

Hittner & Associates will submit deliverable 3.3.6 (this report) in March.

2.4 Task 4 – Quality Assurance

Hittner & Associates shall provide overall Project quality review, periodically examine quality control review results and project status, and summarize the results for executive review and oversight throughout the life of the Project. The Hittner Team will create and deliver quarterly Quality Assurance Status and Improvements Reports summarizing the overall Project status, performance, risks, and recommendations for process improvement to the FCMS Project.

Quality Assurance Deliverables

Deliverable Number	Month	Latest Version	Status
4.1.1	Quarterly Quality Assurance Report – March 2023	1.0	Submitted 4/20/23 (Approved)
4.1.2	Quarterly Quality Assurance Report – June 2023	1.0	Submitted 8/22/23 (Approved)
4.1.3	Quarterly Quality Assurance Report – September 2023	1.0	Submitted 11/2/23 (Approved)
4.1.4	Quarterly Quality Assurance Report – December 2023	0.6	Submitted 1/15/24 (In Review)

Upcoming activities for March

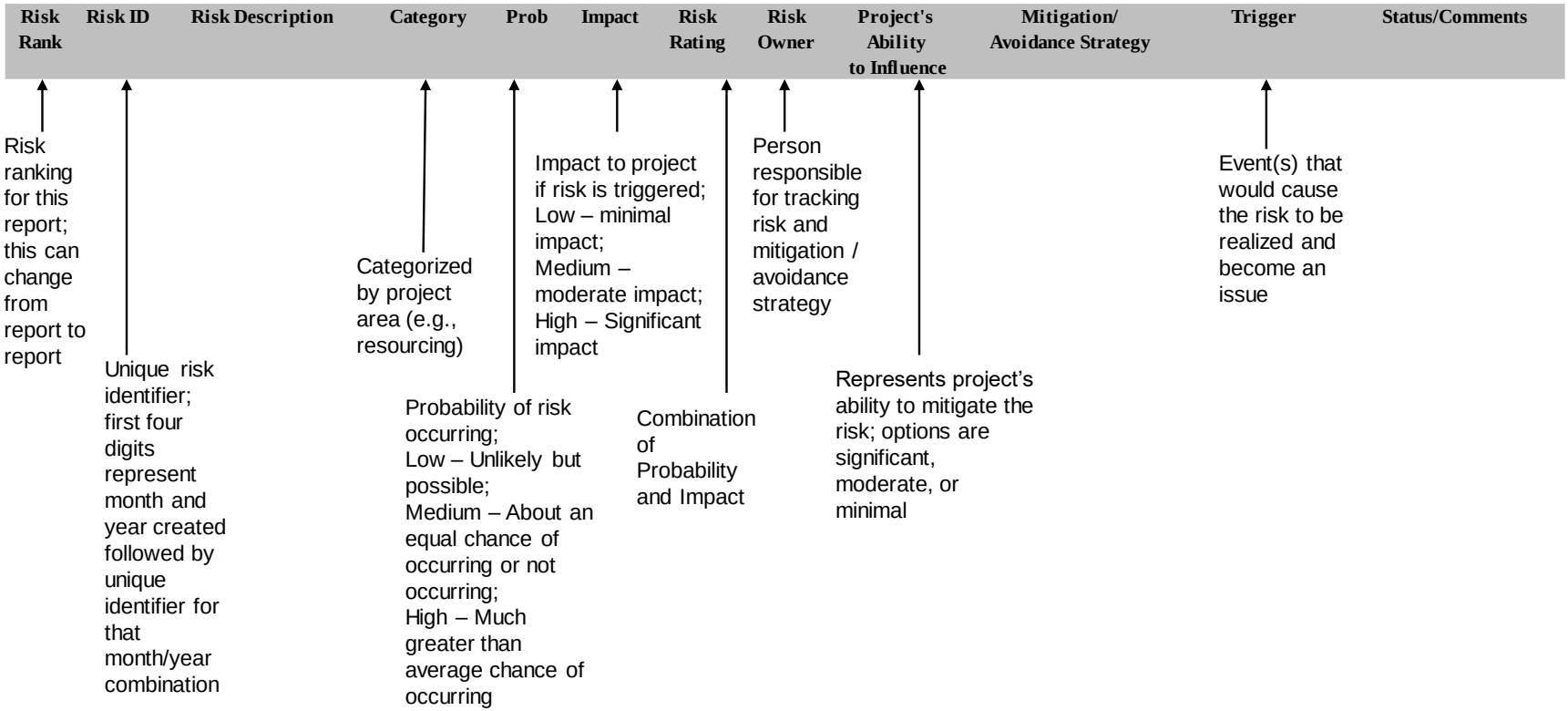
Hittner & Associates will begin scheduling quarterly interviews (to take place in late March and early April).

3.1 On-going Risk Notification Report – February 2024

The detailed Risk Assessment Report for November is provided on the following pages. Hittner updates the report monthly. It is important to note that at times, and for various reasons, there may be differences between the State and the Hittner Team regarding the rating of a Risk/Issue. As an independent QMS Contractor, it is important for Hittner to track its assessment over the course of the risk or issue. When this occurs, Hittner will retain their rating on the QMS Risks and Issues tracking tool as reported here to ensure independence.

Changes from the previous month's risk report will be highlighted in gray and explained in the status column. New risks can be identified in two ways. First, the entire row of a new risk is highlighted in gray. Second, the Risk ID denotes the month and year that the risk originated.

The following graphic explains the columns in the risk log that can be seen on the following pages.



OPDC FCMS Project Risks - February 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
1	0223-11	There is a risk that project stakeholders will not have the participation needed. For internal stakeholders, the challenge is that they are very busy with their regular responsibilities and coordinating project activities is naturally a challenge. There are also external stakeholders (legal services providers) over whom OPDC has no control with regards to project participation.	70%	High	70	Jessica K Ralph A Mary K Stefan L	Moderate (int) Minimal (ext)	Consistent, clear communication of resource expectations will be critical for all stakeholders. This includes any project activities in which their participation is required such as procurement activities, project meetings, documentation creation/review, testing, training, and implementation support.	Project milestones are significantly or consistently delayed due to stakeholders not being available.	2/29/24: Inclusion of stakeholders in procurement process will be a good way to keep them engaged through vendor contract execution. 12/31/23: Good communication regarding status of project (pause and next steps) should take place with all stakeholders in January. 11/20/23: An internal PM was brought to help coordinate the Legislatively-mandated changes. 9/30/23: Raised from 60% to
2	0223-12	There is a risk that the amount of work necessary to release an RFP is greater than planned for by the project. There is a need to review requirements and ensure they have proper input / buy-in as well as being defined at the right level for proposers. Also, review/feedback times from key procurement stakeholders could take longer than normal due to a severe backlog at DAS and DOJ, should assistance from either be requested.	60%	High	60	Ralph A Mary K Stefan L	Moderate	Identify the full set of tasks (and associated durations and resources) needed for full procurement cycle through to contract execution	The overall procurement schedule slips due to the amount of work being greater than planned for the resource utilization.	2/29/24: Requirements reviews will take place in March. 12/31/23: The project has been paused. DAS EIS has been engaged to assist with procurement strategy and also filling of open positions. 11/20/23: A draft RFP was created by an outside consultant (Louis Orndorff) and will be reviewed internally in late November and early December. 9/30/23: Raised from 50% to 60%. The new IT Procurement Specialist should help the procurement efforts focus and accelerate. 8/10/23: This

OPDC FCMS Project Risks - February 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
3	0223-02	There is a risk that as many providers have their own case management system, they may be reluctant to adopt a new system.	60%	High	60	Jessica K	Minimal	Engage providers throughout the project. Consider adding providers as Subject Matter Experts (SME's).	A provider refuses to participate in project.	2/29/23: No change to this risk this month. 12/31/23: Engagement of external providers will need to continue as procurement activities restart. Consider adding external provider representation to the solution evaluation team.
4	0223-01	There is a risk of a lack of agreement on the needs of external users.	50%	High	50	Mary K Stefan L	Moderate	Ensure requirements are reviewed with a small set of representative provider organizations, including categorization / prioritization of those requirements (e.g., "must have", "very beneficial", and "nice to have" or similar categories.	Project tasks are delayed due to decisions that are delayed due to lack of agreement on requirements.	2/29/24: External users should be included in the upcoming requirements reviews. 12/31/23: Consider reviewing requirements with external users prior to inclusion in the RFP. 11/20/23: No change this month. 8/18/23: This remains a risk
5	0223-06	There is a risk that no solutions on the market are sufficient to meet OPDC's needs without significant modification.	50%	High	50	Mary K Stefan L	Minimal	Ensure requirements are at a low enough level that proposers have a clear understanding of what is being asked of them and ambiguity is minimized as much as possible.	Proposals show more gaps than anticipated in functional fit.	2/29/24: No change to this risk this month. 12/31/23: Potential vendors will be showing their solutions to OPDC in January/February. 11/20/23: No change this month.

OPDC FCMS Project Risks - February 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
6	0223-07	There is a risk that the requirements are not at a low enough level to ensure proposers have a clear understanding of what is required with a new solution.	50%	High	50	Mary K Stefan L	Significant	Ensure requirements are at a detail level that proposers have a clear understanding of what is being asked of them and ambiguity is minimized. Also, ensure that requirements prioritization / categorization have been very thoughtfully considered and the vast majority are not "must have's".	Significant number of questions for clarity come from proposers around requirements during proposal phase.	2/29/24: Requirements are being reviewed with stakeholders in March. 11/20/23: This risk remains through the procurement. 9/30/23: The IT Procurement Specialist will likely review the requirements for appropriate level of detail. 8/18/23: Requirements are going through one final review in August/September before the release of the RFP.
7	0223-09	There is a risk that security requirements are not sufficient for this solution as there is very sensitive data involved.	45%	High	45	David M	Significant	Ensure there are security requirements and that vendor solutions can define security roles to the level necessary to handle the varying roles needed.	Proposals do not sufficiently address security requirements.	2/29/24: New CIO has started and will be part of requirements reviews in March. 12/31/23: DAS EIS and new CIO (when hired) should review security requirements for sufficiency.
8	0323-02	There is a risk of lack of involvement by key OPDC personnel in project processes and decisions.	45%	High	45	Jessica K Ralph A	Significant	Ensure all project stakeholders from OPDC understand their role and responsibilities	Milestones are delayed due to lack of expected involvement from OPDC personnel.	11/20/23: The challenge in this area will remain throughout the project and organizational transition activities. 9/30/23: This remains a key risk, particularly with the increased transition activities.

OPDC FCMS Project Risks - February 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
9	0223-05	There is a risk that inflationary increases to solution implementation and hosting costs are greater than proposed as part of the FCMS 2023-2025 POP.	40%	High	40	Ralph A Mary K Stefan L	Moderate	Ensure LFO and key Legislative Committee members are kept apprised of any identified changes to planned project and hosting costs. This will be difficult to do until proposals are received.	Proposals reveals costs that are greater than 10% overage on the budget.	2/29/24: Procurement activities have restarted. 12/31/23: Procurement activities are paused but should restart in January/February. 11/20/23: It is unclear (as of mid-November) when the RFP might be released.
10	0223-03	There is a risk that due to limited involvement of end users, the system may not adequately serve its intended audience.	35%	High	35	Mary K Stefan L	Moderate	Ensure that end users are involved in the project. Of particular importance is to engage some end users in requirements refinement. Consider holding a series of meetings with providers (town halls) in which a presentation on the project can be provided and allow providers to ask questions.	Design or testing reveals inadequate coverage for end users.	12/31/23: No change to this risk this month. 11/20/23: End user participation should be reviewed as the procurement activities continue. 8/18/23: One final review of requirements will be taking place prior to release of the RFP. 6/30/23: The project is reviewing requirements with the Appellate Division.
11	0323-01	There is a risk that a move to the Executive branch could cause less autonomy and OPDC would not be able to use Oregon Judicial Department for certain IT support (e.g., network management, Help Desk, security, etc.) and have to either use DAS or hire more personnel.	30%	High	30	Jessica K Emese P Ralph A	Minimal	Ensure Legislature understands the benefits to all Oregonians of the current autonomy for OPDC.	Legislation is passed that moves OPDC to the Executive branch and includes reduced autonomy for the agency.	12/31/23: Transition activities are underway. 11/20/23: The approach to this transition is still being formulated. 9/30/23: Early transition planning is taking place. 8/18/23: Lowered from 50% to 30% mainly due to timing as the project should be able to finish prior to the full execution of the move to the Executive branch. 6/20/23: The Legislature has

OPDC FCMS Project Risks - February 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
12	0223-10	There is a risk that project milestones are delayed or missed due to project understaffing. With the budget being approved by the Legislature, this risk is around the hiring of the ITS4 position and then also ensuring that the staff are focused on project activities and not pulled off onto other agency work.	20%	High	20	Ralph A Emese P	Moderate	There are two Operations and Policy Analyst 3 (OPA3) positions included in the 2023-2025 POP, as well as a technical resource (ITS4) position that can serve as an information technology specialist. The two OPA3 positions would carry the current PM's through the implementation and into Operations & Maintenance.	Project tasks (including procurement planning tasks) begin to slip due to project understaffing.	2/29/24: Lowered from 50% to 20% as the CIO position and project manager positions have been filled.. 12/31/23: Risk raised from 20% to 50% with the resignations of co-PM's and retirement of CIO. 9/30/23: Hittner will monitor this risk as project activities intensify through procurement.

HITTNER & ASSOCIATES

Quarterly Quality Status Report #5 (for evaluation period 1/1/24 – 4/16/24)

Deliverable 4.1.5

Version 0.6

Financial and Case Management System (FCMS) Project

Oregon Public Defense Commission

April 16, 2024

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Revision Description

Document Revision History		
Date	Version	Description
April 9, 2024	0.4	Draft for internal review/updates
April 12, 2024	0.5	Final draft for internal review
April 16, 2024	0.6	Official submission

1. 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 Oregon Public Defense Commission (OPDC) 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 OPDC to re-initiate the planning phases of the Financial/Case Management System (F/CMS) information technology project. Since then, HB 337 (2023) increased Commission size to nine (9) voting members and four (4) non-voting members. This legislation also instructed OPDC to begin transition to becoming part of the Executive branch of Oregon government by January 1, 2025.

OPDC 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 OPDC utilizes, and the inadequacies that limit the agency's ability to modernize efforts to better meet the needs of public defense.

The purpose of this project is to replace OPDC'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, OPDC will meet Oregon public defense needs with the following system capabilities:

(a) Financial Management
(b) Case Management
(c) Reporting

OPDC desires a transparent and effective public defense model and believes that starts with modernizing operational technologies.

This report represents Hittner & Associates' quarterly evaluation of the FCMS Project. It contains the results of our independent evaluation of key documents, as well as a series of interviews.

It is important to note that while our Quarterly Quality Status Report #5 is comprehensive, it has been done from a position of independence. As part of the on-going risk notification process, our approach included conducting interviews with both OPDC staff and other Project stakeholders to properly inform our findings and recommendations.

The measurements and assessments align with Quality Standards deemed by Hittner & Associates to be important for the FCMS Project and are represented by the following:

Risk Rating	Description
Low	This project exhibits the low risk cue, or appears to have no risks in this area.
Medium	This project exhibits the medium risk cue, or something similar in threat.
High	This project exhibits the high-risk cue, or something similar in threat.
N/A	This factor is not applicable to this project.
TBD	The project is not far enough along to assign a rating; the Project Team or Hittner & Associates needs to review the quality standard at a later time.

Overall assessment findings will include trending information to provide an at-a-glance view of the likely trajectory of activities based on past performance. Trending will be identified as follows:

Trend	Definition
↑	Activities are improving / Risk is decreasing
↔	Activities are remaining steady / No change in risk
↓	Activities are deteriorating / Risk is increasing

1.1. Project Status & Health

Project Health			
Current Rating	M	**Trending**	**Risk Decreasing Slightly**
Previous Rating (3/5/24)	M-H		

As of April 16, 2024, Hittner & Associates rates the overall project health as having a Medium Risk profile. Due to some significant developments around resources in early April, Hittner extended its evaluation period from March 31 to April 16.

The primary Project activity currently is the review of FCMS requirements. The Project has defined requirements but those requirements are being revisited prior to releasing an RFP, RFQ or RFI to potential vendors for a Commercial-Off-The-Shelf (COTS) solution that would best satisfy the requirements and best serve all stakeholders. The solution would be hosted by the chosen vendor. Some potential vendors were brought into OPDC in Q1 2024 to show their solutions and allow stakeholders to ask questions of the vendors.

As this review of requirements moves towards its completion, the Project Team will need to assemble a procurement schedule from the ground up and ensure that it includes all procurement tasks, duration for each task, and resources assigned to each task. The detailed schedule should then be communicated to all stakeholders who have a role in the procurement phase.

Organizational changes were significant again this quarter. A new Chief Information Officer (CIO) began work this quarter. Also, a new Project Manager (PM) began work in mid-February, focused on the FCMS Project. As of April 16, a procurement contractor has been identified and will soon begin work assisting the FCMS Project. Two business analyst positions will also be filled – one has been hired and work on the other continues.

Governance Committee meetings have restarted after being paused in December. OPDC is looking at restarting a Steering Committee as well. The project charter is being reviewed by stakeholders along with the business. These will both be updated and in place in time to provide to prospective FCMS vendors as part of the upcoming RFP.

Key legislation passed (SB 337 and SB5506) in the 2023 Legislative session includes direction for OPDC to become part of the Executive Branch. Activities for this are underway and full transition will complete by January 1, 2025. While not having a direct effect on the project in the near term, this activity could have an indirect impact on the project by taking resource time away from project activities to focus on transition activities. The Project is receiving assistance/guidance on the FCMS Project from the Department of Administrative Services (DAS). This includes employing some Stage Gate activities and guidelines for FCMS procurement and beyond.

A pilot is being implemented for some in-house trial attorneys (split between southern Oregon and Portland, with an upcoming third location in Salem) and that requires an interim case management solution for these attorneys, which has been implemented. Coordination of this with the FCMS Project is very important as some resources (particularly technical support) may be asked to work on both activities.

Following are breakdowns of specific measurement areas evaluated by Hittner & Associates for the FCMS Project.

Budget			
Current Rating	M	**Trending**	**Stable**
Previous Rating (3/5/24)	M		

The project budget was approved by the Legislature. Hittner & Associates rates this area as a Medium risk primarily due to possible increased cost for both implementation and hosting services due to inflation. However, the exact costs will be difficult to ascertain until proposals are received for the new solution.

Schedule			
Current Rating	M-H	**Trending**	**Risk Decreasing**
Previous Rating (3/5/24)	H		

Hittner rates this area as a Medium-High risk as of April 16, 2024. While no project schedule is currently in place, progress is being made with review of requirements. As requirements review nears its completion, the project should look to assemble a procurement schedule to guide activities from RFP creation/release through the selection of the FCMS vendor. This would include all tasks, durations, and resources. The new procurement contractor will help with this process.

Scope/Quality			
Current Rating	M	**Trending**	**Stable**
Previous Rating (3/5/24)	M		

The scope is understood by internal OPDC staff. More work could still be ahead with requirements review including engaging external stakeholders. While the Case Management aspect is certainly very important, the biggest pain point for the agency is the Financial Management side. Timekeeping is the important third piece of functionality.

Resources			
Current Rating	M	**Trending**	**Risk Decreasing**
Previous Rating (3/5/24)	M-H		

Hittner & Associates lowers this risk rating from Medium-High to Medium as OPDC filled two key roles relevant to the project – CIO and Project Manager. As of April 16, 2024, a procurement contractor has also been identified and a business analyst has been hired and will start in late April. A second business analyst recruitment is underway. Also, an Organizational Change Management (OCM) contractor role is being considered.

2. Critical Review Focus Areas

This section serves as a roll-up summary of the Detailed Focus Area review in section 3. To understand how the overall risk rating (color) for each item was arrived at, please see the detailed evaluation in section 3. The items listed in the Key Findings and Recommendations column represent just one item of possibly many noted in the detailed section 3. It is possible that the individual standard noted in the "Key Findings" column may be at a different risk level than the overall risk rating for that area noted in the "Jan 23" column.

2.1. Process Standards Scorecard

Process Standards	Apr 24	Dec 23	Key Findings and Recommendations
Decision Drivers	M	M	DD-0324-01: Internal politics have had some influence on the project, relative to a somewhat siloed divisional relationship. This is not unusual in a rapidly growing organization and the agency is working to address this so we have lowered this risk from High to Medium. There could be increased outside pressures now from the new Commission, the Governor's office or the Department of Administrative Services (DAS). *Recommendation #1:Ensure key representatives from stakeholder groups are involved in the review of requirements and then throughout the project.* *Recommendation #2: Ensure the Commission is kept apprised of project progress.* *Recommendation #3: Continue consistent communication with DAS.*
Project Management	M	M-H	PM-0324-07: The Project reset this quarter as a new CIO and Project Manager were hired. The Project Manage provides a weekly status report which has good information in it with an appropriate level of detail. Also, interviewees have noted increased communication from the project since the new PM began work.

Process Standards	Apr 24	Dec 23	Key Findings and Recommendations
			Recommendation: The new PM should continue to meet with project executives to keep them updated with project status and risks/issues as well as hear any of their project concerns/feedback.
Project Parameters	M	M	PP-0324-03: The project budget was approved for the 2023-2025 biennium. The positions approved are limited duration through the end of the biennium but that should not affect the stability of those resource until potentially towards the end of the biennium. It is difficult to assess the exact cost of an implementation and ongoing hosting services until proposals are received from vendors. *Recommendation: During procurement activities, identify if there is a significant delta between budgeted costs and projected costs from proposals.*
Project Team	M	M	PT-0324-01: This area has been lowered to Medium risk as additional team members have been, and are being, added. The new Project Manager started in February. A new Business Analyst has been hired and will start in late April. Recruitment is underway for a second Business Analyst. A procurement contractor has been identified. *Recommendation: OPDC will need to complete the hiring of a second BA and ensure all have appropriate onboarding and introduction to the FCMS Project.*
Organizational Management	M	M-H	OM-0324-02: The Director is very aware of, and engaged with, the Project. The Deputy Director and Chief Financial Officer are also very involved in the Project. The Deputy Director has assumed the role of Project Sponsor. *Recommendation: N/A.*
Customer/User	M-H	H	CU-0324-01: Hittner & Associates has some concern with the depth at which requirements were reviewed in 2023 and the breadth of external users who reviewed them and how useful those review periods have been. However, with project reset the requirements are currently being reviewed again, Hittner is lowering this rating from High to Medium. *Recommendation: Ensure that end users are involved in the project from here on out. Of particular importance is to engage some end users in requirements and business process definition activities. The agency is taking the time to review the requirements properly and this should continue as a high priority for the project prior to assembly of the FCMS solution RFP.*

2.2. Product Standard Scorecard

Product Standards	Apr 24	Dec 23	Findings and Recommendations
Product Content	M-H	M-H	PC-0324-01: An initial set of requirements (approximately 800) has been defined. These are currently being reviewed by various stakeholder groups. Hittner maintains this area as a high risk until this review is complete and shared with agency executives, DAS, and Hittner & Associates. *Recommendation: These requirements should provide a view of what OPDC and its stakeholders would like in a new solution, while considering business processes. Consider carefully how they are organized for both internal reviewers as well as prospective vendors, whether by general functional area or by process flow. Requirements should be prioritized as some variation of "must have," "very beneficial," and "nice to have." The most challenging category is typically the middle category.*
Development Process	L	L	DP-0324-01: Hittner & Associates continues iQMS work for the project to provide independent quality assurance. LFO has also been involved. DAS is also providing guidance. *Recommendation: The project will need to evaluate the Solution contractor's quality assurance process.*
Development / Deployment Environment	TBD	TBD	This will be evaluated further in the Project. *Recommendation: N/A.*
Technology	TBD	TBD	This will be evaluated further in the Project. *Recommendation: N/A.*
Deployment	TBD	TBD	This will be evaluated further in the Project. *Recommendation: N/A.*
Maintenance	TBD	TBD	This will be evaluated further in the Project. *Recommendation: N/A.*

3. Detailed Evaluation and Recommendations

For each relevant Process or Product Standard, Hittner & Associates notes our findings in this area (using the Evaluation Questions as a general, but not limiting, guide) and any associated recommendation(s) for each finding. As the Standards take a broader view of the entire Project lifecycle, there are a few items that are not relevant for this report but will be evaluated later during the project.

3.1. Decision Drivers

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
DD-1	Political Influences	• Are decisions politically motivated?	DD-0324-01: Internal politics have had some influence on the project, relative to a somewhat siloed divisional relationship. This is not unusual in a rapidly growing organization and the agency is working to address this so we have lowered this risk from High to Medium. There could be increased outside pressures now from the new Commission, the Governor's office or the Department of Administrative Services (DAS). *Recommendation #1:Ensure key representatives from stakeholder groups are involved in the review of requirements and then throughout the project.* *Recommendation #2: Ensure the Commission is kept apprised of project progress.* *Recommendation #3: Continue consistent communication with DAS.*	M	H
DD-2	Convenient Implementation Date	• Are decisions driven by dates, or by the scope of the project and the availability of staff?	DD-0324-02: There is no set implementation date at this point. A project schedule will need to be developed with an initial focus on procurement. *Recommendation: The next step is to assemble a schedule for procurement activities, which should include tasks, durations, and resources.*	H	H

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
DD-3	Short Term Solution	• Does the solution meet short term needs without serious compromise to long term outlook?	DD-0324-03: A solution is still to be selected. Some preliminary research has been done and OPDC believes there are some commercial products that could be a fit. A few vendors were brought in during Q1 2024 to show their product including LegalServer, eDefender, and MAPSYS. *Recommendation: N/A.*	L	L

3.2. Project Management

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
PM-1	Project Definition / Scope	• How well is the Project defined? • How manageable is the scope?	PM-0324-01: Project scope has been defined as having three primary areas – financial, case management, and timekeeping. *Recommendation: N/A.*	L	L
PM-2	Project Objectives	• Are objectives quantifiable? • Are objectives measurable?	PM-0324-02: As with scope, project objectives have been laid out and leadership is in alignment with them. *Recommendation: N/A.*	L	L
PM-3	Leadership	• Is there a full-time Project Manager? • Is the Manager solely dedicated to the Project? • Are OPDC Business and IS executives involved at the appropriate level? • Is there an actively engaged Steering Committee?	PM-0324-03: The previous Project Managers left the agency in December. A new Project Manager began work in mid-February. She has good experience in project management and is dedicated to the project full-time. A new CIO started this quarter as well. *Recommendation: N/A.* PM-0324-04: OPDC leadership is actively engaged on the project. *Recommendation: N/A.* PM-0324-05: The Governance Committee (equivalent of an Executive Steering Committee on some projects) has begun meeting again after pausing in December. *Recommendation: Ensure responsibilities are revisited and reviewed with a reconstituted Governance Committee. Clarify if the Steering Committee will be re-formed. Interviewees were inconsistent on this.*	M	H

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
PM-4	Project Mgmt Approach	• Are there consistent and effective process planning and controls in place?	PM-0324-06: There is no project schedule at this point. *Recommendation: Create a procurement schedule to guide project activities over the next several months.*	H	H
PM-5	Project Mgmt Communication	• Does the Project communicate effectively with Exec. Management, Vendors and Stakeholders?	PM-0324-07: The Project reset this quarter as a new CIO and Project Manager were hired. The Project Manage provides a weekly status report which has good information in it with an appropriate level of detail. Also, interviewees have noted increased communication from the project since the new PM began work. *Recommendation: The new PM should continue to meet with project executives to keep them updated with project status and risks/issues as well as hear any of their project concerns/feedback.*	L	M
PM-6	Project Mgmt Experience	• Does the Project Manager have appropriate PM experience for a project of this size and complexity?	PM-0324-08: Hittner has met with the new Project Manager multiple times in the past several week. She has good experience and appropriate skills for this role and project. *Recommendation: N/A.*	L	H
PM-7	Project Mgmt Authority	• Does the Project Mgr. have sufficient and official authority to make decisions?	PM-0324-09: This is OPDC's first real foray into formal project management so there is naturally some resistance to formal project methodology and thus that affects the PM's full authority. However, as the last year has transpired the agency has become more familiar with standard project management practices. *Recommendation: Leadership must ensure that project stakeholders understand the role of the new PM and respect her defined span of authority. Once a vendor is selected, an implementation phase kick-off*	M	H

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
			will be critical to cover, among other things, roles, and responsibilities of all involved in the project.		
PM-8	Support of the Project Mgr.	• Does the Project Mgr. have sufficient support of Team Members and Senior and Exec. Mgmt.?	PM-0324-10: In her first month in her position, agency executives have shown good support for the new PM. Ongoing support will be critical to complete key documentation and also provide strategic direction as needed. *Recommendation #1: As the Project moves forward, it will be important for Executives to continue to meet regularly with the PM to continue to foster communication and support. Also, documentation input/review/feedback must be timely.* *Recommendation #2: Participation in the Governance Committee must be a priority for the members. Also, it is critical that committee members perform their duties as required (timeline documentation reviews, active participation in meetings, etc.). This will have increased importance as procurement activities continue forward.*	M	M

3.3. Project Parameters

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
PP-1	Project Size	• Is the Project of a size and complexity that is manageable by OPDC?	PP-0324-01: This evaluation area has been raised to High risk until a solution vendor is chosen. *Recommendation: A resource utilization plan will need to accompany the project schedule once a vendor begins work.*	H	H
PP-2	Hardware Constraints	• Are there few hardware constraints?	PP-0324-02: No hardware constraints are known at this point. *Recommendation: This area will be evaluated further as the office is looking for a COTS (Commercial-Off-the-Shelf) solution or SaaS (Software as a Service) solution.*	L	L
PP-3	Budget & Resource Size	• Does the Project have sufficient budget? • Are there sufficient resources allocated to the Project?	PP-0324-03: The project budget was approved for the 2023-2025 biennium. The positions approved are limited duration through the end of the biennium but that should not affect the stability of those resource until potentially towards the end of the biennium. It is difficult to assess the exact cost of an implementation and ongoing hosting services until proposals are received from vendors. *Recommendation: During procurement activities, identify if there is a significant delta between budgeted costs and projected costs from proposals.* PP-0324-04: An experienced procurement person will need to be added to OPDC. Among other responsibilities, this person will have a key role in the FCMS procurement. As of April 16, 2024, a person	H	M

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
			has been identified for this role. Hittner raised this area to a high risk until this person has started work. *Recommendation: Ensure the procurement person receives full onboarding/history of project.*		
PP-4	Cost Controls	• Are there well-established cost controls in place?	PP-0324-05: With project delays, regular budget monitoring will have increased importance. *Recommendation: The Project should track the budget weekly and report to the Governance Committee monthly. These reports should include monthly and cumulative looks at actual versus planned expenditures and any relevant schedule or budget variances.*	M	M
PP-5	Delivery Commitment and Schedule	• Does the Project have definitive and firm delivery dates? • Are those dates being met? • Is the schedule feasible?	PP-0324-06: A formal schedule for procurement activities is still to be finalized. *Recommendation: The project should now assemble a procurement schedule to guide those activities as soon as possible.*	H	H
PP-6	Information Security	• Is the Project governed by agreed upon parameters and limitations, meeting relevant industry requirements?	PP-0324-07: The Project will need to include security requirements as part of any solution. Hittner & Associates will evaluate these as they are available. *Recommendation: N/A.*	TBD	N/A

3.4. Project Team

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
PT-1	Team Member Availability	• Are team members dedicated to the Project? • Is there limited to no staff turnover? • Is "fire-fighting" limited?	PT-0324-01: This area has been lowered to Medium risk as additional team members have been, and are being, added. The new Project Manager started in February. A new Business Analyst has been hired and will start in late April. Recruitment is underway for a second Business Analyst. A procurement contractor has been identified. *Recommendation: OPDC will need to complete the hiring of a second BA and ensure all have appropriate onboarding and introduction to the FCMS Project.*	M	H
PT-2	Mix of Team Skills	• Do the Project Team and Contractor have the appropriate mix of skill sets to accomplish the scope of work?	PT-0324-02: There is no solution contractor yet. *Recommendation: Ensure a new Business Analyst (BA) and Technical Architect (TA) have good public sector experience – ideally with the State of Oregon.*	M	M
PT-3	Team Productivity	• Are team members highly productive? • Are team members (including any Solution vendors) onsite an appropriate amount of time? • Are project milestones being met?	PT-0324-03: Most of the Project work is done onsite with some remote meetings, as appropriate. The new PM is onsite at least two days per week. *Recommendation: N/A.* PT-0324-04: The next set of milestones will be related to procurement activities. This area will remain a high risk until a firmer procurement schedule is set. *Recommendation: A procurement schedule should be set as soon as possible.*	H	H
PT-4	Proper Sense of Urgency	• Do the Project Team, Contractors, and all other project stakeholders have a	PT-0324-05: The Project Team is still to be re-established. A new PM began work this quarter and is working on requirements review.	M	M

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
		proper sense of urgency for completing tasks on time and striving to meet key milestones?	*Recommendation: Once the Project team is re-established, a kick-off meeting should be held to review Project scope and objectives, approach, upcoming schedule, and roles and responsibilities. All project stakeholders must understand the sense of urgency and priority for this Project.*		
PT-5	Designated Information Security Focal Point	• Does OPDC have a security lead resource to address all security concerns?	PT-0324-05: Oregon Judicial Department's ETSD has been engaged as needed. DAS is also providing security guidance to the project. Due to the sensitive nature of some of the data that will be involved in this Project, this risk rating is Medium until a further examination of solution security can be made during proposal evaluations. *Recommendation: Ensure that information security remains at the forefront of project work.*	M	M

3.5. Organization Management

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
OM-1	Organizational Stability	• Is the Project stable with few changes? • Is OPDC mgmt. stable with few changes? • Is vendor mgmt. stable with few changes?	OM-0324-01: The CIO position was filled this quarter as was the FCMS Project Manager role. A new Business Analyst has been hired. *Recommendation: Ensure all project stakeholders understand roles & responsibilities for all project-related positions, from Sponsor to Governance Committee to PM to other part-time participants.*	M	H
OM-2	Executive Involvement	• Is Exec. Mgmt. involved at the sponsor level? • Do Exec. Stakeholders receive regular updates? • Is there visible Exec. Support for the Project?	OM-0324-02: The Director is very aware of, and engaged with, the Project. The Deputy Director and Chief Financial Officer are also very involved in the Project. The Deputy Director has assumed the role of Project Sponsor. *Recommendation: N/A.*	L	M
OM-3	Resource Conflict	• Are Exec. Mgmt. committed to providing resources to complete tasks?	OM-0324-03: All personnel are very busy with many different activities across the agency. The addition of the Legislatively-mandated changes has added to this conflict. *Recommendation: Agency executives will need to be prepared to provide direction as resources are pulled between multiple high-priority activities (e.g., FCMS Project, transition to Executive Branch, etc).*	M	M

3.6. Customer / User

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
CU-1	User Involvement	• Are system users highly involved with the Project team? • Do system users provide significant input in design and requirements?	CU-0324-01: Hittner & Associates has some concern with the depth at which requirements were reviewed in 2023 and the breadth of external users who reviewed them and how useful those review periods have been. However, with project reset the requirements are currently being reviewed again, Hittner is lowering this rating from High to Medium. *Recommendation: Ensure that end users are involved in the project from here on out. Of particular importance is to engage some end users in requirements and business process definition activities. The agency is taking the time to review the requirements properly and this should continue as a high priority for the project prior to assembly of the FCMS solution RFP.*	M	H
CU-2	User Acceptance	• Do users accept system concepts and details? • Is there an established process to obtain user approval?	CU-0324-02: This area has a high risk due to the varying needs of the public defender services providers. Hittner maintains this area as a high risk at least until requirements are fully reviewed. *Recommendation: As noted above, end users should be involved in the project as much as feasibly possible from here on out.*	H	H
CU-3	User Training Needs	• Are users' training needs being considered? • Is there an established plan for providing training?	CU-0324-03: This will be further defined and evaluated as a solution is chosen. *Recommendation: N/A.*	TBD	N/A

3.7. Product Content

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
PC-1	Requirements Stability	• Are requirements clearly specified and written? • Does the Solution contractor have a clear understanding of the requirements and any gaps? • Does OPDC have an established baseline of requirements? • Does the Solution Contractor or OPDC have a solid requirements traceability process in place?	PC-0324-01: An initial set of requirements (approximately 800) has been defined. These are currently being reviewed by various stakeholder groups. Hittner maintains this area as a high risk until this review is complete and shared with agency executives, DAS, and Hittner & Associates. *Recommendation: These requirements should provide a view of what OPDC and its stakeholders would like in a new solution, while considering business processes. Consider carefully how they are organized for both internal reviewers as well as prospective vendors, whether by general functional area or by process flow. Requirements should be prioritized as some variation of "must have", "very beneficial", and "nice to have." The most challenging category is typically the middle category.*	H	H
PC-2	Testability	• Are requirements easy to test? • Has a comprehensive test plan been developed?	PC-0324-02: A comprehensive test plan is still to be developed. *Recommendation: N/A.*	TBD	N/A
PC-3	Design and Implementation Difficulty	• Is the design well defined? • Have all interfaces been identified?	This item will be evaluated following Solution selection. *Recommendation: N/A.*	TBD	N/A
PC-4	System Dependencies	• Are there clearly defined dependencies?	This item will be evaluated in the future. *Recommendation: N/A.*	TBD	N/A
PC-5	Security Requirements	• Have security requirements been specified and clearly documented?	PC-0324-04: Some security requirements have been included in the current set of requirements.	M	M

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
		• Does the Solution contractor understand those requirements?	*Recommendation: Ensure security requirements are reviewed as part of the overall review of requirements prior to release of an RFP.*		

3.8. Development Process

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
DP-1	Quality Assurance Approach	• Is a Quality Assurance process in place for the Project?	DP-0324-01: Hittner & Associates continues iQMS work for the project to provide independent quality assurance. LFO has also been involved. DAS is also providing guidance. *Recommendation: The project will need to evaluate the Solution contractor's quality assurance process.*	L	L
DP-2	Development Documentation	• Is the documentation provided reliable, correct, and available to the Project Team?	This item will be evaluated in the Configuration Phase. This standard may not be applicable. *Recommendation: N/A*	TBD	N/A
DP-3	Use of Defined Engineering Process	• Are a defined development / configuration methodology and process in place and understood by team members?	This item will be evaluated in the Configuration Phase. This standard may not be applicable. *Recommendation: N/A*	TBD	N/A
DP-4	Early Identification of Defects	• Is an effective review process in place? • Are peer reviews being consistently conducted?	This item will be evaluated in the Configuration Phase. *Recommendation: N/A*	TBD	N/A
DP-5	Defect Tracking	• Is a common defect tracking process being utilized?	This item will be evaluated in the Testing Phase. *Recommendation: N/A*	TBD	N/A

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
DP-6	Change Control for Work Products	• Is a formal change control process being consistently utilized by both the State and the Solution Contractor?	This item will be evaluated in the Configuration or Testing Phase. *Recommendation: N/A*	TBD	N/A
DP-7	Security Coding Techniques	• Is the Solution Contractor utilizing established security coding tools and methods?	This item will be evaluated in the Discovery / Configuration Phases. This standard may not be applicable. *Recommendation: N/A*	TBD	N/A

3.9. Development Environment

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
DE-1	Tools Availability	• Are the tools needed to complete the work available to team members?	This item will be evaluated in the future. *Recommendation: N/A*	TBD	N/A
DE-2	Vendor Support	• Does the Project have complete support of all Project vendors?	This will be evaluated once a Solution Contractor is fully engaged. *Recommendation: N/A.*	TBD	N/A
DE-3	Contract Fit	• Does OPDC have solid contract(s) in place with its Contractors?	This will be evaluated further in the Procurement Phase. *Recommendation: N/A*	TBD	N/A
DE-4	Disaster Recovery	• Is a comprehensive disaster recovery plan in place?	This item will be evaluated in the future. *Recommendation: N/A*	TBD	N/A
DE-5	Existing/Planned Security Monitoring Tools	• Are security monitoring tools in place? • Are security monitoring tools being effectively utilized?	This item will be evaluated in the future. *Recommendation: N/A*	TBD	N/A

3.10. Technology

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
TE-1	Maturity of Technology	• Has the proposed technology been in use previously?	This will be evaluated as part of the Procurement Phase. *Recommendation: N/A.*	TBD	N/A

3.11. Deployment

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
DP-1	Customer Service Impact	• How much change will occur for customers?	This will be evaluated later in the Procurement Phase. *Recommendation: N/A.*	TBD	N/A
DP-2	Data Migration Required	• How much data migration is necessary?	This will be evaluated later in the Procurement Phase. Much of the current data is in Microsoft Access and spreadsheets. *Recommendation: N/A.*	TBD	N/A
DP-3	Day Zero Security	• Is the new system deployed with all security controls and features implemented and tested prior to acceptance?	This item will be evaluated in the future. *Recommendation: N/A*	TBD	N/A

3.12. Maintenance

ID	Quality Standard	Evaluation Question(s) to Consider	Findings and Hittner QA Recommendations	Report Rating	Last (12/31/23)
MN-1	Design / Configuration Complexity	• Is the new system easy to maintain?	This item will be evaluated once a Solution Contractor has been chosen. *Recommendation: N/A*	TBD	N/A
MN-2	Support Personnel	• Is there a solid team of support personnel in place for the new system?	This item will be evaluated in the future. *Recommendation: N/A*	TBD	N/A
MN-3	Vendor Support	• Does the new system have complete vendor support?	This item will be evaluated in the future. *Recommendation: N/A*	TBD	N/A

4. QA Interviews / Documentation Review

Interviews were conducted with FCMS project team members and stakeholders.

4.1. Interviews Conducted

Name	Title/Role
Ralph Amador	OPDC Chief Financial Officer
Eric Deitrick	OPDC Deputy General Counsel
Megan Doak	OPDC Trial Division Contract Analyst
Kim Freeman	OPDC Data and Policy Lead
Jessica Kampfe	OPDC Director
Mary Knoblock	OPDC FCMS Project Manager
Kali Montague	OPDC Appellate Division, Deputy Chief Public Defender
Emese Perfecto	OPDC Deputy Director
Aaron Jeffers	OPDC Trial Division Manager

4.2. Artifacts Reviewed / Project Participation

As part of our Quarterly Quality Status Report #5, Hittner & Associates reviewed the following documents:

- FCMS Project Status Reports
- FCMS Project Charter
- FCMS Requirements documentation
- Document identifying stakeholders for the move to Executive Branch

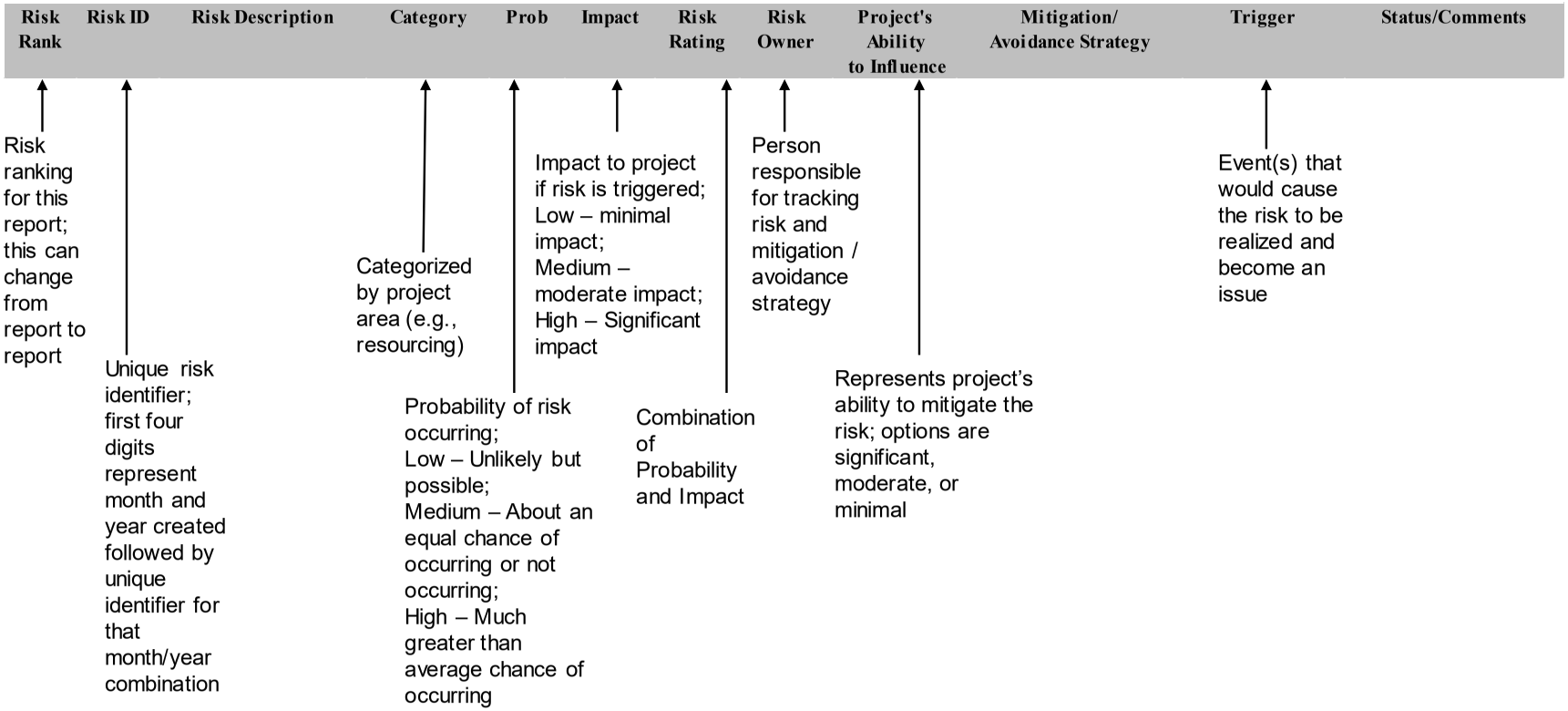
5. Monthly iQMS Risk Report

5.1 On-going Risk Notification Report – April 2024

The detailed Risk Assessment Report for April 2024 is provided on the following pages. Hittner updates the report monthly. It is important to note that at times, and for various reasons, there may be differences between the State and the Hittner Team regarding the rating of a Risk/Issue. As an independent QMS Contractor, it is important for Hittner to track its assessment over the course of the risk or issue. When this occurs, Hittner will retain their rating on the QMS Risks and Issues tracking tool as reported here to ensure independence.

Changes from the previous month's risk report will be highlighted in gray and explained in the status column. New risks can be identified in two ways. First, the entire row of a new risk is highlighted in gray. Second, the Risk ID denotes the month and year that the risk originated.

The following graphic explains the columns in the risk log that can be seen on the following pages.



OPDC FCMS Project Risks - April 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
1	0223-11	There is a risk that project stakeholders will not have the participation needed. For internal stakeholders, the challenge is that they are very busy with their regular responsibilities and coordinating project activities is naturally a challenge. There are also external stakeholders (legal services providers) over whom OPDC has no control with regards to project participation.	70%	High	70	Jessica K Emese P Mary K	Moderate (int) Minimal (ext)	Consistent, clear communication of resource expectations will be critical for all stakeholders. This includes any project activities in which their participation is required such as procurement activities, project meetings, documentation creation/review, testing, training, and implementation support. When the procurement schedule is assembled, ensure it includes a resource utilization plan.	Project milestones are significantly or consistently delayed due to stakeholders not being available.	4/16/24: This remains a high risk as multiple legislatively mandated efforts continue across the agency while also working to review FCMS requirements. 2/29/24: Inclusion of stakeholders in procurement process will be a good way to keep them engaged through vendor contract execution. 12/31/23: Good communication regarding status of project (pause and next steps) should take place with all stakeholders in January. 11/20/23: An internal PM was
2	0223-02	There is a risk that as many providers have their own case management system, they may be reluctant to adopt a new system.	60%	High	60	Jessica K	Minimal	Engage providers throughout the project. Consider adding providers as Subject Matter Experts (SME's).	A provider refuses to participate in project.	4/16/24: This will remain a risk at least into the early stages of the project. 2/29/23: No change to this risk this month. 12/31/23: Engagement of external providers will need to continue as procurement activities restart. Consider adding external provider representation to the solution evaluation team. 11/20/23: No change this

OPDC FCMS Project Risks - April 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
3	0223-12	There is a risk that the amount of work necessary to release an RFP is greater than planned for by the project. There is a need to review requirements and ensure they have proper input / buy-in as well as being defined at the right level for proposers. Also, review/feedback times from key procurement stakeholders could take longer than normal due to a severe backlog at DAS and DOJ, should assistance from either be requested.	50%	High	50	Emese P Mary K	Moderate	Identify the full set of tasks (and associated durations and resources) needed for full procurement cycle through to contract execution	The overall procurement schedule slips due to the amount of work being greater than planned for the resource utilization.	4/16/24: Requirements review continues. Hittner is lowering this risk probability from 60% to 50% in reflection of consistent feedback from interviewees who stressed the need to execute all procurement activities with a sense of urgency but ensure they are done correctly and not unnecessarily rushed. 2/29/24: Requirements reviews will take place in March. 12/31/23: The project has been paused. DAS EIS has been engaged to assist with procurement strategy and also filling of open positions. 11/20/23: A draft RFP was
4	0223-06	There is a risk that no solutions on the market are sufficient to meet OPDC's needs without significant modification.	50%	High	50	Mary K	Minimal	Ensure requirements are at a low enough level that proposers have a clear understanding of what is being asked of them and ambiguity is minimized as much as possible.	Proposals show more gaps than anticipated in functional fit.	4/16/24: Some potential vendors demonstrated their products to OPDC this past quarter. 2/29/24: No change to this risk this month.
5	0223-07	There is a risk that the requirements are not at a low enough level to ensure proposers have a clear understanding of what is required with a new solution.	45%	High	45	Mary K	Significant	Ensure requirements are at a detail level that proposers have a clear understanding of what is being asked of them and ambiguity is minimized. Also, ensure that requirements prioritization / categorization have been very thoughtfully considered and the vast majority are not "must have's".	Significant number of questions for clarity come from proposers around requirements during proposal phase.	4/16/24: Lowered from 50% to 45% to recognize the work being done currently to review the requirements with a broad cross-section of stakeholders. 2/29/24: Requirements are being reviewed with stakeholders in March. 11/20/23: This risk remains through the procurement. 9/30/23: The IT Procurement Specialist will likely review

OPDC FCMS Project Risks - April 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
6	0223-01	There is a risk of a lack of agreement on the needs of external users.	45%	High	45	Mary K	Moderate	Ensure requirements are reviewed with a small set of representative provider organizations, including categorization / prioritization of those requirements (e.g., "must have", "very beneficial", and "nice to have" or similar categories.	Project tasks are delayed due to decisions that are delayed due to lack of agreement on requirements.	r/16/24: Requirements reviews are underway and do include some external stakeholders. Therefore, Hittner lowers this risk probability from 50% to 45%. 2/29/24: External users should be included in the upcoming requirements reviews. 12/31/23: Consider reviewing requirements with external
7	0323-02	There is a risk of lack of involvement by key OPDC personnel in project processes and decisions.	45%	High	45	Jessica K Emese P	Significant	Ensure all project stakeholders from OPDC understand their role and responsibilities	Milestones are delayed due to lack of expected involvement from OPDC personnel.	4/16/24: The first test of this risk will be evaluating involvement in procurement activities particularly (1) requirements review; (2) SOW review; (3) proposal reviews. 11/20/23: The challenge in this area will remain throughout the project and organizational transition activities.
8	0223-09	There is a risk that security requirements are not sufficient for this solution as there is very sensitive data involved.	40%	High	40	David M	Significant	Ensure there are security requirements and that vendor solutions can define security roles to the level necessary to handle the varying roles needed.	Proposals do not sufficiently address security requirements.	4/16/24: DAS is also involved in review of security requirements. Hittner lowers this risk from 45% to 40%. 2/29/24: New CIO has started and will be part of requirements reviews in March. 12/31/23: DAS EIS and new

OPDC FCMS Project Risks - April 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
9	0223-05	There is a risk that inflationary increases to solution implementation and hosting costs are greater than proposed as part of the FCMS 2023-2025 POP.	40%	High	40	Ralph A Mary K	Moderate	Ensure LFO and key Legislative Committee members are kept apprised of any identified changes to planned project and hosting costs. This will be difficult to do until proposals are received.	Proposals reveals costs that are greater than 10% overage on the budget.	4/16/24: No change in status this period. 2/29/24: Procurement activities have restarted. 12/31/23: Procurement activities are paused but should restart in January/February.
10	0223-03	There is a risk that due to limited involvement of end users, the system may not adequately serve its intended audience.	35%	High	35	Mary K	Moderate	Ensure that end users are involved in the project. Of particular importance is to engage some end users in requirements refinement. Consider holding a series of meetings with providers (town halls) in which a presentation on the project can be provided and allow providers to ask questions.	Design or testing reveals inadequate coverage for end users.	4/16/24: This remains an ongoing long-term risk to monitor. 12/31/23: No change to this risk this month. 11/20/23: End user participation should be reviewed as the procurement activities continue. 8/18/23: One final review of requirements will be taking place prior to release of the RFP.
11	0323-01	There is a risk that a move to the Executive branch could cause less autonomy and OPDC would not be able to use Oregon Judicial Department for certain IT support (e.g., network management, Help Desk, security, etc.) and have to either use DAS or hire more personnel.	25%	High	25	Jessica K Emese P Ralph A	Minimal	Continue to have open dialogue with DAS as to expectations for the project.	Schedule is significantly due to Executive Branch requirements that are new to OPDC	4/16/24: Lowered from 30% to 25% as DAS has provided good assistance related to procurement activities. 12/31/23: Transition activities are underway. 11/20/23: The approach to this transition is still being formulated. 9/30/23: Early transition planning is taking place. 8/18/23: Lowered from 50% to 30% mainly due to timing as the project should be able to finish prior to the full execution of the move to the Executive branch.

OPDC FCMS Project Risks - April 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
12	0223-10	There is a risk that project milestones are delayed or missed due to project understaffing. This risk in Q1 and Q2 2024 is around the hiring of Business Analysts and procurement position and then also ensuring that the staff provide the required time allotment to the project	15%	High	15	Ralph A Emese P	Moderate	Hired to business analyst positions as well as someone to provide procurement assistance.	Project tasks (including procurement planning tasks) begin to slip due to project understaffing.	4/16/24: Lowered from 20% to 15% as a procurement contractor has been hired along with a business analyst. Another business analyst recruitment is under way. 2/29/24: Lowered from 50% to 20% as the CIO position and project manager positions have been filled.. 12/31/23: Risk raised from 20% to 50% with the

OPDC FCMS Project Risks - April 2024

Risk Rank	Risk ID	Risk Description	Prob	Impact	Risk Rating	Risk Owner	Project's Ability to Influence	Mitigation/ Avoidance Strategy	Trigger	Status/Comments
1	0223-11	There is a risk that project stakeholders will not have the participation needed. For internal stakeholders, the challenge is that they are very busy with their regular responsibilities and coordinating project activities is naturally a challenge. There are also external stakeholders (legal services providers) over whom OPDC has no control with regards to project participation.	70%	High	70	Jessica K Emese P Mary K	Moderate (int) Minimal (ext)	Consistent, clear communication of resource expectations will be critical for all stakeholders. This includes any project activities in which their participation is required such as procurement activities, project meetings, documentation creation/review, testing, training, and implementation support. When the procurement schedule is assembled, ensure it includes a resource utilization plan.	Project milestones are significantly or consistently delayed due to stakeholders not being available.	4/16/24: This remains a high risk as multiple legislatively mandated efforts continue across the agency while also working to review FCMS requirements. 2/29/24: Inclusion of stakeholders in procurement process will be a good way to keep them engaged through vendor contract execution. 12/31/23: Good communication regarding status of project (pause and next steps) should take place with all stakeholders in January. 11/20/23: An internal PM was brought to help coordinate the Legislatively-mandated changes. 9/30/23: Raised from 60% to 70% as the Legislatively-mandated changes will increase competition for resources' time and focus. 8/18/23: It will be important to include stakeholders throughout procurement. 6/30/23: Hittner would like to see the pace of requirements reviews increase. 5/18/23: The project has begun reviewing requirements and defining current business processes with Accounts Payable. 3/31/23: This risk will be important to mitigate with the

										review of requirements that will be upcoming. 2/28/23: New risk.
2	0223-02	There is a risk that as many providers have their own case management system, they may be reluctant to adopt a new system.	60%	High	60	Jessica K	Minimal	Engage providers throughout the project. Consider adding providers as Subject Matter Experts (SME's).	A provider refuses to participate in project.	4/16/24: This will remain a risk at least into the early stages of the project. 2/29/23: No change to this risk this month. 12/31/23: Engagement of external providers will need to continue as procurement activities restart. Consider adding external provider representation to the solution evaluation team. 11/20/23: No change this month. 8/18/23: Hittner will continue to monitor stakeholders engagement. 6/30//23: No change this month. 3/31/23: A majority of the PD's would like a new system so they don't have to play for their current random systems. The bigger challenge will be with the hybrid attorneys who serve

										both public and private and what data can be shared and how that data is shared. 2/28/23: New risk.
3	0223-12	There is a risk that the amount of work necessary to release an RFP is greater than planned for by the project. There is a need to review requirements and ensure they have proper input / buy-in as well as being defined at the right level for proposers. Also, review/feedback times from key procurement stakeholders could take longer than normal due to a severe backlog at DAS and DOJ, should assistance from either be requested.	50%	High	50	Emese P Mary K	Moderate	Identify the full set of tasks (and associated durations and resources) needed for full procurement cycle through to contract execution	The overall procurement schedule slips due to the amount of work being greater than planned for the resource utilization.	4/16/24: Requirements review continues. Hittner is lowering this risk probability from 60% to 50% in reflection of consistent feedback from interviewees who stressed the need to execute all procurement activities with a sense of urgency but ensure they are done correctly and not unnecessarily rushed. 2/29/24: Requirements reviews will take place in March. 12/31/23: The project has been paused. DAS EIS has been engaged to assist with procurement strategy and also filling of open positions. 11/20/23: A draft RFP was created by an outside consultant (Louis Orndorff) and will be reviewed internally in late November and early December. 9/30/23: Raised from 50% to 60%. The new IT Procurement Specialist should help the procurement efforts focus and accelerate. 8/18/23: This remains one of the top risks.

										6/30/23: Raised from 35% to 50%. A full procurement schedule should now be assembled. 5/18/23: An initial procurement task list has been created and is being reviewed and revised. 3/31/23: The project will be assembling a preliminary procurement task list. 2/28/23: New risk.
4	0223-06	There is a risk that no solutions on the market are sufficient to meet OPDC's needs without significant modification.	50%	High	50	Mary K	Minimal	Ensure requirements are at a low enough level that proposers have a clear understanding of what is being asked of them and ambiguity is minimized as much as possible.	Proposals show more gaps than anticipated in functional fit.	4/16/24: Some potential vendors demonstrated their products to OPDC this past quarter. 2/29/24: No change to this risk this month. 12/31/23: Potential vendors will be showing their solutions to OPDC in January/February. 11/20/23: No change this month. 9/30/23: This risk will be monitored as procurement activities increase their pace. 6/30/23: No change to this risk. 3/31/23: OPDC knows of at least four or five solutions on the market that have been used in the public defense area. 2/28/23: New risk.

5	0223-07	There is a risk that the requirements are not at a low enough level to ensure proposers have a clear understanding of what is required with a new solution.	45%	High	45	Mary K	Significant	Ensure requirements are at a detail level that proposers have a clear understanding of what is being asked of them and ambiguity is minimized. Also, ensure that requirements prioritization / categorization have been very thoughtfully considered and the vast majority are not "must have's".	Significant number of questions for clarity come from proposers around requirements during proposal phase.	4/16/24: Lowered from 50% to 45% to recognize the work being done currently to review the requirements with a broad cross-section of stakeholders. 2/29/24: Requirements are being reviewed with stakeholders in March. 11/20/23: This risk remains through the procurement. 9/30/23: The IT Procurement Specialist will likely review the requirements for appropriate level of detail. 8/18/23: Requirements are going through one final review in August/September before the release of the RFP. 6/30/23: No change to this risk this month. 5/18/23: Work has begun on reviewing requirements and defining business processes. 3/31/23: The FCMS Project team plans on taking another run through these with the business stakeholders. Also, creation of some use cases could help. 2/28/23: New risk.
6	0223-01	There is a risk of a lack of agreement on the needs of external users.	45%	High	45	Mary K	Moderate	Ensure requirements are reviewed with a small set of representative provider organizations, including categorization / prioritization of those requirements (e.g., "must have", "very beneficial", and "nice to have" or similar categories.	Project tasks are delayed due to decisions that are delayed due to lack of agreement on requirements.	r/16/24: Requirements reviews are underway and do include some external stakeholders. Therefore, Hittner lowers this risk probability from 50% to 45%. 2/29/24: External users should be included in the upcoming requirements reviews. 12/31/23: Consider reviewing requirements with external users prior to inclusion in the RFP.

7	0323-02	There is a risk of lack of involvement by key OPDC personnel in project processes and decisions.	45%	High	45	Jessica K Emese P	Significant	Ensure all project stakeholders from OPDC understand their role and responsibilities	Milestones are delayed due to lack of expected involvement from OPDC personnel.	11/20/23: No change this month. 8/18/23: This remains a risk to monitor. 6/30/23: The project should lay out the full schedule for requirements reviews and communicate this to those involved. 5/18/23: No change to this risk. 3/31/23: The new steering committee has met initially and will be going through scope before the next meeting. 2/28/23: New risk. 4/16/24: The first test of this risk will be evaluating involvement in procurement activities particularly (1) requirements review; (2) SOW review; (3) proposal reviews. 11/20/23: The challenge in this area will remain throughout the project and organizational transition activities. 9/30/23: This remains a key risk, particularly with the increased transition activities. 8/18/23: The project must ensure key stakeholders are involved in the procurement evaluation and selection. 6/30/23: No change to this risk this month. 5/18/21: Lowered from 50% to 45% as the Governance Committee and Steering Committee are both now meeting regularly. 3/31/23: New risk.

8	0223-09	There is a risk that security requirements are not sufficient for this solution as there is very sensitive data involved.	40%	High	40	David M	Significant	Ensure there are security requirements and that vendor solutions can define security roles to the level necessary to handle the varying roles needed.	Proposals do not sufficiently address security requirements.	4/16/24: DAS is also involved in review of security requirements. Hittner lowers this risk from 45% to 40%. 2/29/24: New CIO has started and will be part of requirements reviews in March. 12/31/23: DAS EIS and new CIO (when hired) should review security requirements for sufficiency. 11/20/23: No change this month. 9/30/23: This will be an important risk to monitor when vendor proposals are received. 6/30/23: No change to this risk. 3/31/23: This will be an important area to review as part of the requirements review. 2/28/23: New risk.
9	0223-05	There is a risk that inflationary increases to solution implementation and hosting costs are greater than proposed as part of the FCMS 2023-2025 POP.	40%	High	40	Ralph A Mary K	Moderate	Ensure LFO and key Legislative Committee members are kept apprised of any identified changes to planned project and hosting costs. This will be difficult to do until proposals are received.	Proposals reveals costs that are greater than 10% overage on the budget.	4/16/24: No change in status this period. 2/29/24: Procurement activities have restarted. 12/31/23: Procurement activities are paused but should restart in January/February. 11/20/23: It is unclear (as of mid-November) when the RFP might be released. 9/30/23: Procurement activities are behind the planned schedule and a new procurement schedule should be produced in October. 8/18/23: Proposal evaluations should take place in late 2023 or early 2024. 3/31/23: There will be

										limited updates to this risk until vendor proposals are received. 2/28/23: New risk.
10	0223-03	There is a risk that due to limited involvement of end users, the system may not adequately serve its intended audience.	35%	High	35	Mary K	Moderate	Ensure that end users are involved in the project. Of particular importance is to engage some end users in requirements refinement. Consider holding a series of meetings with providers (town halls) in which a presentation on the project can be provided and allow providers to ask questions.	Design or testing reveals inadequate coverage for end users.	4/16/24: This remains an ongoing long-term risk to monitor. 12/31/23: No change to this risk this month. 11/20/23: End user participation should be reviewed as the procurement activities continue. 8/18/23: One final review of requirements will be taking place prior to release of the RFP. 6/30/23: The project is reviewing requirements with the Appellate Division. 5/18/23: Lowered from 40% to 35%. Outreach work has begun with Accounts Payable. Several end users are members of the Steering Committee. Quarterly town halls are being considered. 3/31/23: The project will be reaching out to end users for requirements review. The project is also considering holding quarterly town halls. 2/28/23: New risk.

11	0323-01	There is a risk that a move to the Executive branch could cause less autonomy and OPDC would not be able to use Oregon Judicial Department for certain IT support (e.g., network management, Help Desk, security, etc.) and have to either use DAS or hire more personnel.	25%	High	25	Jessica K Emese P Ralph A	Minimal	Continue to have open dialogue with DAS as to expectations for the project.	Schedule is significantly due to Executive Branch requirements that are new to OPDC	4/16/24: Lowered from 30% to 25% as DAS has provided good assistance related to procurement activities. 12/31/23: Transition activities are underway. 11/20/23: The approach to this transition is still being formulated. 9/30/23: Early transition planning is taking place. 8/18/23: Lowered from 50% to 30% mainly due to timing as the project should be able to finish prior to the full execution of the move to the Executive branch. 6/30/23: The Legislature has approved the move. Now the agency must assess how best to move forward with transition plans. 5/18/23: This remains a risk with the Legislative session ongoing. 3/31/23: New risk.
12	0223-10	There is a risk that project milestones are delayed or missed due to project understaffing. This risk in Q1 and Q2 2024 is around the hiring of Business Analysts and procurement position and then also ensuring that the staff provide the required time allotment to the project	15%	High	15	Ralph A Emese P	Moderate	Hired to business analyst positions as well as someone to provide procurement assistance.	Project tasks (including procurement planning tasks) begin to slip due to project understaffing.	4/16/24: Lowered from 20% to 15% as a procurement contractor has been hired along with a business analyst. Another business analyst recruitment is under way. 2/29/24: Lowered from 50% to 20% as the CIO position and project manager positions have been filled.. 12/31/23: Risk raised from 20% to 50% with the resignations of co-PM's and retirement of CIO. 9/30/23: Hittner will monitor this risk as project activities intensify through procurement. 8/18/23: No change to this risk.

							6/30/23: Reworded the risk now that the budget and positions have been approved. Lowered from 60% to 20%. 5/18/23: Lowered from 80% to 60%. A new BA has started work on the project and another will start in early June. 3/31/23: Request is in the POP. 2/28/23: New risk.

OPDS FCMS Closed Project Risks

Risk Rank	Risk ID	Risk Description	Prob %	Impact	Risk Rating	Proposed Owner	Mitigation Strategy	Trigger	Corrective Action Plan	Status
14	0223-04	There is a risk that the Legislature may not approve funds for the project to move forward	10%	High	10	Jessica K Brian D Jim C	Minimal	Ensure LFO and key Legislative Committee members are kept apprised of project progress and needs.	Legislature cuts or disapproves funding.	6/30/23: Close risk as the budget has been approved by the Legislature. 5/18/23: This remains a risk until formally approved. 3/31/23: The legislative session continues. All indications are that funding will be received from the Legislature. The FCMS Project is part of a legislative work session. 2/28/23: New risk.
10	0223-08	There is a risk that the requirements are not representative of what is needed by all stakeholders.	40%	High	40	Krystal S Brandi M	Moderate	Ensure requirements are reviewed with a small set of representative provider organizations, including categorization / prioritization of those requirements (e.g., "must have", "very beneficial", and "nice to have" or similar categories.	Fit-Gap and Design sessions show unexpected significant gaps in expectations of end users and system capabilities	9/30/23: Combined with risk 0223-01. 6/30/23: Reviews continue with the Appellate Division. 5/18/23: Reviews have begun with Accounts Payable. 3/31/23: Review of requirements with end users will be a key task in the coming months. 2/28/23: New risk.

10	0823-01	There is a risk that the work being executed by the Deason Group conflicts with the work of the project or is not well coordinated and causes challenges for stakeholders.	40%	High	40	Jim C Pam M	Moderate	Continue close communication with the Deason Group and regular status check-ins.	Stakeholders report confusion as to perceived overlapping work between the two efforts.	11/20/23: Putting this risk on hold while the agency decides the direction/schedule for the FCMS RFP. 9/30/23: A survey was executed by the Deason Group. The results are being evaluated before being released to the agency. 8/18/23: New risk.
13	0823-02	There is a risk that the folding of the current Steering Committee into the Governance Committee slows the project down due to increased inaction at the stakeholder or leadership level.	30%	High	30	Jessica K Emese P Ralph A	Moderate	Ensure clear direction is given to the Governance Committee on needs from the project. Also, sufficient advance notice is given to the Committee regarding action items.	Project tasks are delayed due to Committee inaction.	12/31/23: Closed risk. 11/20/23: No changes this month. 9/30/23: Hittner will continue to monitor this risk. 8/18/23: New risk.
4	1123-01	There is a risk that the recruitment of a project manager is not completed in a timely manner or results in a failed recruitment and further delays to the FCMS Solution procurement.	50%	High	50	Ralph A Emese P	Extensive	Engage DAS EIS for assistance in initial screening of candidates.	A project manager is not hired by mid-February.	2/29/24: This risk is closed as two project managers started work in February. 12/31/23: Covendis will be utilized to fill this position. 11/20/23: New risk.
13	1123-02	There is a risk that a replacement for the retiring CIO is not on board prior to RFP release, thus inheriting requirements and project approach that they did not have a voice in crafting.	60%	Medium	30	Ralph A Emese P	Minimal	Utilize DAS EIS assistance as a bridge until the new CIO is hired.	RFP is released prior to the start of the new CIO.	2/29/24: CIO has begun work. Risk closed. 12/31/23: Updated risk description. Also raised risk probability from 50% to 60%. 11/20/23: New risk.

Oregon Public Defense Commission

FCMS Stakeholders
Bi-Weekly Meeting

March 14, 2024

Financial & Case Management System

Oregon Public Defense Commission

FCMS Agenda Items

- RFP: Requirement sessions ongoing with Finance completing 3/14.
- EIS Documents: Charter, Business Case, ITI Form – In Progress (Charter iQMS – review done)
- Project Documentation and Asana WBS: In-Progress
- Project Status Reports – Sending weekly
- Governance Committee Meetings – In progress
- RFP Remaining Documentation – In progress
- DOJ FCMS Review – PM will review key takeaways & learnings
- Procurement Request – In progress
- Stakeholder dependencies and schedule being re-considered due to other OPDC project priorities and First Priority: Judicial to Executive Branch Transition Project
- 30/60/90 Day Plan - In Progress

FCMS Risks & Mitigation Report

ID	RISK TITLE	DESCRIPTION	APPROACH	TYPE	PRIORITY	TARGET RESOLUTION	STATUS
RS-001	*Timeline to Obtain RFP Vendor Contract*	*Goal : Send RFP to FCMS vendors in mid April. Work likely only to start in late June after Contract approval and Vendor resource commitment. IT work for move from Judicial to Executive may increase delays.*	*Aggressively manage timeline and request/follow up from PM perspective. Ensure State of Oregon IT Procurement is on board throughout the process.*	*Mitigate*	*Critical*	*March 31*	*New*
RS-002	*DAS IT Procurement Resource*	*RFP guidance for standard RFP's (Vendor, T&C's, RFP decision making processes)*	*CIO has potential candidate from State of Oregon.*	*Mitigate*	*Critical*	*March 31*	*New*
RS-003	*EiS "Custom" Stage review process DAS for judicial to executive transition*	*EIS has concerns of Stage Gate process for judicial to executive.*	*Reviewed with Governance Sponsor Team: said it wasn't a concern-not in DAS yet. Need unified confirmation from DAS EIS and OPDC leadership*	*Mitigate*	*High*	*March 15*	*New*

Status - Major Milestones

Milestone	Status
30/60/90 Day Plan execution	
FCMS Request for Proposal (RFP)	
EIS Stage 1 Initiation	
IT Investment Form (ITI)	
Business Case	
Charter	
Hitner Project Status- overall health Medium High Risk – trending positive see quarterly report for Feb 2024	
Hitner Procurement Status- High Risk	
Hitner Budget Status- Medium Risk	
Hitner Schedule Status- High Risk	
Hitner Resources Status- Medium High Risk	
Hitner Scope Status- High Risk	

Q&A

- Roundtable Q&A – 10 min

Next Steps

- *FCMS RFP Requirement Review Sessions start for Legal Team Stakeholders March 19th.*

Thank you

Oregon Public Defense Commission

Oregon Public Defense Commission

FCMS Stakeholders Bi-Weekly Meeting

March 28, 2024

Financial & Case Management System

Oregon Public Defense Commission

FCMS Agenda Items

- RFP: Requirement sessions ongoing with Legal.
- EIS Documents: Charter, Business Case: Sending for Approval/Sign-Off by Friday 3/29.
- Project Documentation and Asana WBS: In-Progress
- Procurement Request – In progress (revisiting with DAS).
- EIS Stage Gate 1 alignment with DAS.
- 30/60/90 Day Plan - In Progress
- Scope review: Charter Scope updated – Scope language includes all inclusive solution for finance/case management to be reviewed by Governance Committee. Reviewed with oversight at DOJ, DAS & CFO, CIO.
- Communication Plan: In Progress, linked in LFO report, and on SharePoint.
- LFO Report: In Progress, last review today. Will be completing by Monday April 1st.
- Alignment with Communications team.

FCMS Risks & Mitigation Report

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Q&A

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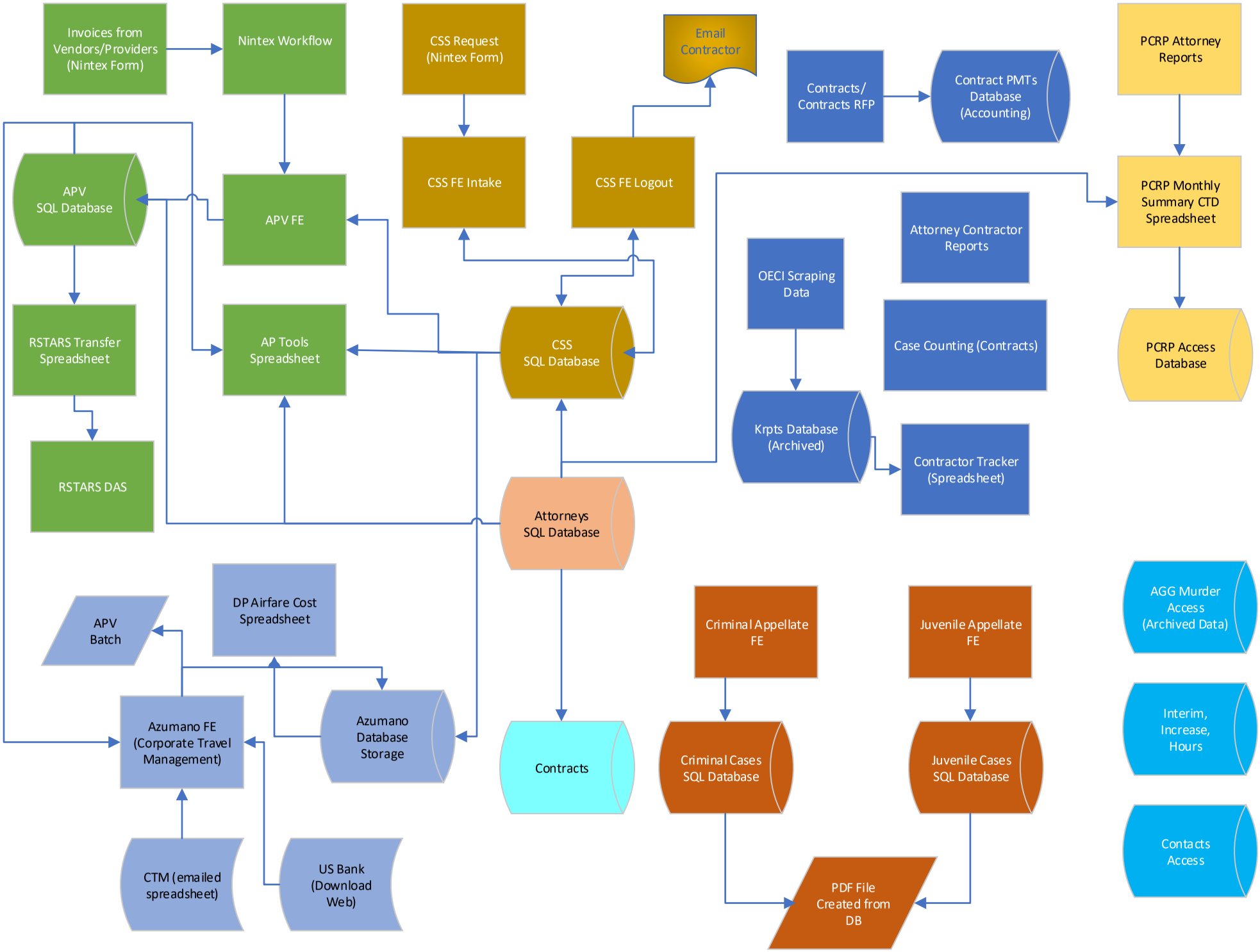
Next Steps

- *LFO submittal.*
- *Business Case & Project Charter submittal to EIS.*
- *Legal Requirements Review sessions continue.*

Thank you

Oregon Public Defense Commission


Invoices from Vendors/Providers (Nintex Form)
Nintex Workflow
CSS Request (Nintex Form)
Email Contractor
Contracts/ Contracts RFP
Contract PMTs Database (Accounting)
PCRP Attorney Reports
APV SQL Database
APV FE
CSS FE Intake
CSS FE Logout
PCRP Monthly Summary CTD Spreadsheet
Attorney Contractor Reports
OECI Scraping Data
RSTARS Transfer Spreadsheet
AP Tools Spreadsheet
CSS SQL Database
Case Counting (Contracts)
PCRP Access Database
Krpts Database (Archived)
Contractor Tracker (Spreadsheet)
RSTARS DAS
Attorneys SQL Database
APV Batch
DP Airfare Cost Spreadsheet
Criminal Appellate FE
Juvenile Appellate FE
AGG Murder Access (Archived Data)
Azumano FE (Corporate Travel Management)
Azumano Database Storage
Contracts
Criminal Cases SQL Database
Juvenile Cases SQL Database
Interim, Increase, Hours
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