

EXECUTIVE SECRETARY
KARL R. HADE

ASSISTANT EXECUTIVE SECRETARY &
LEGAL COUNSEL
EDWARD M. MAGON

COURT IMPROVEMENT PROGRAM
SANDRA L. KATSON, DIRECTOR

EDUCATIONAL SERVICES
CAROLINE B. KIRKPATRICK, DIRECTOR

FISCAL SERVICES
HARRY M. WENZIG, DIRECTOR

HUMAN RESOURCES
KENNETH FLEMING MILLS, DIRECTOR

SUPREME COURT OF VIRGINIA



JUDICIAL INFORMATION TECHNOLOGY
MICHAEL J. BIGGS, SR., DIRECTOR

JUDICIAL SERVICES
PAUL F. DELONTE, DIRECTOR

LEGAL RESEARCH
STEVEN I. DALLA MORA, DIRECTOR

LEGISLATIVE & PUBLIC RELATIONS
ALISA W. FADDEN, DIRECTOR

MAGISTRATE SERVICES
JONATHAN E. GREEN, DIRECTOR

OFFICE OF THE EXECUTIVE SECRETARY
100 NORTH NINTH STREET
RICHMOND, VIRGINIA 23219-2334
(804) 786-6455

November 1, 2023

Ms. Kristen J. Howard, Executive Director
Virginia State Crime Commission
1111 East Broad Street
Suite B036
Richmond, VA 23219

Dear Ms. Howard:

Chapter 542, Enactment Clause 10, of the Virginia Acts of Assembly (Special Session I, 2021) requires this Office to provide a report to the Virginia State Crime Commission on the progress of implementing automated systems to exchange information as required by §§ 19.2-392.7, 19.2-392.10, 19.2-392.11, and 19.2-392.12 of the Code of Virginia by November 1 of each year until the automated systems have been fully implemented.

Staff in OES have continued working to identify the full breadth of scope and requirements for the necessary changes to the systems and applications affected by the sealing legislation. Based on the known scope of the criminal sealing implementation project, OES's Department of Judicial Information Technology (DJIT) is executing last year's plan for implementation that includes changes to existing systems along with building a new centralized criminal sealing orchestration service to automate the sealing/unsealing workflows across all OES and non-OES court systems and the Virginia State Police. Please find enclosed a report describing our progress on implementation since our November 2, 2022 report.

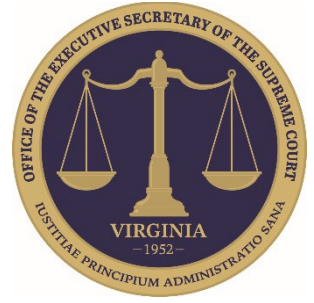
If additional information is needed about this project, please do not hesitate to contact me.

With best wishes, I am

Very truly yours,

Karl R. Hade

KRH:jrs
Enclosure
cc: Division of Legislative Automated Systems



CRIMINAL SEALING PROJECT STATUS

2023 Progress Report to the Crime Commission

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INTRODUCTION

Chapter 542, Enactment Clause 10 of the Virginia Acts of Assembly (Special Session I, 2021) requires the Office of the Executive Secretary (OES) to provide a report to the Virginia State Crime Commission on the progress of implementing automated systems to exchange information as required by §§ 19.2-392.7, 19.2-392.10, 19.2-392.11, and 19.2-392.12 of the Code of Virginia by November 1 of each year until the automated systems have been fully implemented. The purpose of this document is to report the progress made by OES since our November, 2022 report in analyzing and implementing the required changes to various systems to meet the requirements of the criminal sealing legislation. This report provides an overview of the identified project scope along with risks that might impact the budget and timeline to deliver all system functionality. This document also includes a list of accomplishments and a brief status of work in progress.

DEFINITION OF TERMS

System/ Application	Description
ACMS (CAV)	Appellate Case Management System (Court of Appeals)
ACMS (SCV)	Appellate Case Management System (Supreme Court of Virginia)
CASS	Case Alert Subscription System
CAV Public	Court of Appeals of Virginia (CAV) Public Search
CCMS	Circuit Case Management System
Circuit Forms	Forms System used by Circuit Courts
Circuit OCIS	Circuit Online Case Information System
CIS	Circuit Imaging System
CMS Databases	Relational Database Management Systems supporting OES Case Management Systems
CMS Databases	Relational Database Management Systems supporting OES Case Management Systems
COVERS	Commonwealth of Virginia Electronic Recordation System (land records)
CPS	Circuit Public Search
CRIS	Criminal Rap Back Information System
DARS	Digital Appeals Record System
Data Replication	Services that extract data from specific systems and replicates the data in a separate data repository, which is used by other systems for retrieving near real-time data statewide.
DOC Bridge	Department of Corrections (DOC) Bridge
EMAG	EMagistrate System
Enterprise FORMS	A Forms System used by JDR courts and numerous other internal systems
EVPS	Electronic Voucher Payment System
FAS	Financial Accounting System
GCMS	General District Case Management System
GD FORMS	General District FORMS
GD OCIS	General District Online Case Information System
GDIS	General District Imaging System
GDPS	General District Public Search
GDPVS	General District Public Viewing System
JCMS	Juvenile & Domestic Relations District Court (JDR) Case Management System
JDIS	JDR Imaging System
JDRPS	JDR Public Search
JSVS	JDR Secure Viewing System
OCIS 2.0	Online Case Information System
OCRA	Officer of the Court Remote Access (Circuit Courts only)
RMS	Records Management Services or Records Management Systems
SACR	Staff Attorney Case Reports
SCV Public	Supreme Court of Virginia (SCV) Public Search

System/ Application	Description
SOS	Sealing Orchestration Service
SRA	Secure Remote Access (Circuit Courts only)
VACES	Virginia Appellate Courts EFiled System (used by SCV, CAV and some Circuit courts)
VDBC	Virginia Date of Birth Confirmation
VDS	Video Docket System
VJCS	Virginia Judicial Collection System
VJEFS	Virginia Judicial Electronic Filing System
VJOPS	Virginia Judiciary Online Payment System
VSP Bridge	OES hosted service that facilitates traffic to and received from Virginia State Police (VSP) for sealing and other purposes not related to sealing.

PROJECT SCOPE & IMPLEMENTATION STATUS

The matrix on the following page is intended to depict the high-level scope of the criminal sealing project identified to date in terms of systems and system components that must undergo changes to fulfill the requirements of this legislation. The boxes are shaded in Green, Yellow, and Red to depict the amount of progress made on OES systems and applications to support the implementation of this legislation.

GREEN

Indicates that the analysis and scope have been completed, development and quality assurance, including automation, are underway with no impediments.

YELLOW

Indicates that the analysis has started but is stalled due to dependencies on other systems' design decisions and/or priorities OR the initial analysis has determined that the scope impact is very small.

RED

Indicates that analysis has not started or that the initial analysis is delayed and/or we are awaiting information from an external agency.

Project Scope & Implementation Status Matrix

GCMS <ul style="list-style-type: none"> Court Initiated Sealing <ul style="list-style-type: none"> Single/Multiple Case Sealing Validations & Override Search & View Sealed Case Edit/Update Sealed Case Void & Revert a Sealed Case VSP & Petition Sealing SOS Integration Seal Traffic Infractions (batch) Reports (new & existing) 	JCMS <ul style="list-style-type: none"> Court Initiated Sealing <ul style="list-style-type: none"> Single Case Sealing Validations & Override Search & View Sealed Case Edit/Update Sealed Case Void Sealed Case VSP & Petition Sealing SOS Integration Seal Traffic Infractions (batch) Reports (new & existing) 	CCMS <ul style="list-style-type: none"> Court Initiated Sealing <ul style="list-style-type: none"> Single/Multiple Case Sealing Soft Warning Validations Search & View Sealed Case Edit/Update Sealed Case Void Sealed Case VSP & Petition Sealing CIS Integration SOS Integration Reports (new & existing) 	ACMS (CAV) <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Search Sealed Case Update Sealed Case SOS Integration Reports (new & existing) 	ACMS (SCV) <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Search Sealed Case Update Sealed Case SOS Integration Reports (new & existing) 	Non-OES CMS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements SOS Integration Non-OES CMS Integration (Fairfax) Gateway to VSP Reports (new & existing) 	Non-OES Imaging <ul style="list-style-type: none"> Analysis & Design Detailed Requirements SOS Integration <ul style="list-style-type: none"> Arlington County Charlottesville Essex County Fairfax County Patrick County Sussex County Gateway to VSP Reports (new & existing)
GDIS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Seal Case Images & Docs Seal Warrant/Sealing Order SOS Integration Reports (new & existing) 	JDIS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Seal Case Images & Docs Seal Warrant/Sealing Order SOS Integration Reports (new & existing) 	CIS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Seal Case Images & Docs Seal Sealing Order SOS Integration CCMS Integration Reports (new & existing) 	RMS/COVERS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements Reports (new & existing) Public Search for COVERS 	DARS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements CIS Integration 	FAS (Circuit/GD/JDR) <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Search Sealed Case Load Sealed Case Update Sealed Case Seal Fund Receiving SOS Integration Reports (new & existing) 	SOS <ul style="list-style-type: none"> Architecture & Design Business Rules & Case Matching Logic Sealing/Unsealing Workflow User Interface (exception queues & search/reporting features) System Integration (OES subsystems, Public Facing Systems, VSP, etc.)
GD FORMS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements Sealing Order Template 	Enterprise FORMS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements Sealing Order Template 	Circuit FORMS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements Sealing Order Template (Court Initiated) Sealing Order Template (VSP Initiated) Sealing Order Template (Petition Initiated) 	VACES <ul style="list-style-type: none"> No impact 	EVPS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Search Sealed Case Search Sealed Case Sealing Voucher Images Seal Fund SOS Integration Reports (new & existing) Audit Report (existing) 	VJOPS (Circuit/JDR) <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Search Sealed Case 	VSP Bridge <ul style="list-style-type: none"> SOS Integration Define & Implement Interface Specifications (OES to VSP and VSP to OES) Exception Handling Logic
GD OCIS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View Enable Payments for Sealed Cases 	OCIS 2.0 <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Update queries Block Sealed Cases from Public View 	Circuit OCIS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View 	CAV Public <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View in CAV Kiosk & CAV Public Apps Reports (new & existing) 	SCV Public <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View in SCV Kiosk & SCV Public Apps Reports (new & existing) 	VJEFS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Seal Fund Search Sealed Case SOS Integration Reports (new & existing) 	CMS Databases <ul style="list-style-type: none"> Configure role based access controls to restrict sealed cases
GDPS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View SOS Integration 	JDRPS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View SOS Integration 	CPS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View SOS Integration 	SRA <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View SOS Integration 	EMAG <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Search Sealed Case/Charge Update Sealed Case/Charge SOS Integration Reports (new & existing) 	VJCS (Circuit/GD/JDR) <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Search Sealed Case Pay Sealed Case Accept Petition fees Reports (new & existing) 	Batch Processing <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Update GD COBOL Programs Update Circuit COBOL Programs Update JDR COBOL Programs Update FMS COBOL Programs
GDVPS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View SOS Integration 	JSVS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View SOS Integration 	OCRA <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block Sealed Cases from Public View SOS Integration 	VDS (Circuit/GD/JDR) <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Implement changes to seal videos and minutes Regression Testing Reports (new & existing) 	DOCBridge <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Block sealed cases from Public view 	VDBC <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Restrict VDBC from using Sealed Cases for DOB confirmation 	Data Replication <ul style="list-style-type: none"> Analysis & Design Detailed Requirements <ul style="list-style-type: none"> Database Modeling (GCMS, JCMS, CCMS) Role Based Access Control Isolate Sealed Cases in Secured Area
				CASS <ul style="list-style-type: none"> Analysis & Design Detailed Requirements Seal Case Notification Alerts 	SACR <ul style="list-style-type: none"> Analysis & Design Detailed Requirements 	Existing Interfaces <ul style="list-style-type: none"> Analysis for Criminal Sealing Implementation for all levels of courts Coordinate & Implement Changes with each Interface within scope

CMS, Imaging, and FORMS Systems

System/ Application	Status Description	Status
ACMS (SCV and CAV)	<ul style="list-style-type: none"> ▪ Initiated analysis of the impact of the criminal sealing legislation on ACMS (SCV/CAV) Systems. ▪ Encountering far more complexity than expected mapping Circuit cases to their corresponding cases in the CAV and SCV case management systems. 	RED
CCMS	<ul style="list-style-type: none"> ▪ Completed development and started quality assurance on the workflow that will support Va. Code § 19.2-392.8 (automatic sealing of offenses resulting in acquittal, nolle prosequi, or dismissal.) ▪ Completed design of interface between CCMS and CIS for processing sealing orders and to support the workflow required to implement § 19.2-392.8. ▪ Analysis and high-level workflow have been completed for §§ 19.2-392.7 and 19.2-392.11. 	GREEN
GCMS	<ul style="list-style-type: none"> ▪ Completed development and quality assurance on the workflow that will support § 19.2-392.8 (Automatic sealing of offenses resulting in acquittal, nolle prosequi, or dismissal). Targeting user acceptance testing (UAT) before the end of the year. ▪ Started development and quality assurance on functionality to support the exception paths for sealing cases in GCMS for all sealing methods. ▪ Started analyzing the exception flows within the case management systems for court-initiated sealing (§ 19.2-392.8) and VSP-initiated sealing (§§ 19.2-392.7 and 19.2-392.11). ▪ Identified new functionality, including revert and update actions that will allow clerks to correct clerical errors. ▪ Reduced scope of impacts by eliminating an integration with GDIS. 	GREEN
JCMS	<ul style="list-style-type: none"> ▪ Completed development and quality assurance on the workflow that will support § 19.2-392.8 (Automatic sealing of offenses resulting in acquittal, nolle prosequi, or dismissal). ▪ Development of § 19.2-392.8 use case is close to completion pending some changes to the workflow on the front end. ▪ Reduced scope of impacts by eliminating an integration with JDIS. 	GREEN
EMAG	<ul style="list-style-type: none"> ▪ Started development and quality assurance on the integration between SOS and EMAG. ▪ Started data analysis to determine how to automatically match cases received from the case management systems to cases in EMAG, so that the appropriate cases are sealed in EMAG. 	YELLOW
CIS/COVERS	<ul style="list-style-type: none"> ▪ Additional scope is required to support immediate sealing of core OES systems, which include imaging systems. Architecture discussions are underway. ▪ Started analysis on the exception scenarios. ▪ CCMS and CIS interface specification for sealing is finalized and is currently under development from CCMS and CIS teams 	YELLOW
GDIS & JDIS	<ul style="list-style-type: none"> ▪ Started design requirements to support the interface required with SOS to enable sealing and void sealing cases in GDIS and JDIS. ▪ Started working on GDIS and JDIS user interface requirements. ▪ Building the API for consuming the sealing requests from SOS. ▪ Reduced scope of impacts by eliminating an integration with GCMS and JCMS. 	GREEN
Circuit Forms / GD FORMS / Enterprise FORMS	<ul style="list-style-type: none"> ▪ Analysis has not started. These systems are depicted as Yellow since the scope is small. 	YELLOW

External/Internal Interfaces

System/ Application	Status Description	Status
SOS	<ul style="list-style-type: none"> ▪ Reviewed an initial list of alternate scenarios that could potentially be automated to reduce the number of cases that fall out as exceptions that will need to be handled manually. ▪ Completed data analysis and finalized the algorithm for matching appealed cases in circuit court that were initiated in either general district (GDC) or juvenile and domestic relations (JDR) courts. ▪ Actively working with the following teams to begin discussions on integration with the SOS to consume VSP-initiated sealing candidate requests so that these systems can seal the correct case data, including images of case files. <ul style="list-style-type: none"> ▪ Case management systems (CCMS, GCMS, JCMS) ▪ Imaging (CIS, GDIS, JDIS) ▪ EMAG ▪ FAS ▪ Started working on the requirements to allow clerks to void or revert sealing and to update sealed case data. 	GREEN
VSP Bridge	<ul style="list-style-type: none"> ▪ Finalized technical specifications for the interfaces required between OES and VSP. ▪ Finalized analysis of district to circuit courts FIPS (Federal Information Processing Standards) codes mapping to ensure OES can route cases identified for sealing by VSP to the appropriate circuit court. ▪ Started working with the CCMS team on the analysis and design of the integration required to support the receipt of cases identified by VSP for VSP-initiated sealing. 	GREEN
Fairfax Circuit Court CMS & Imaging System Integration	<ul style="list-style-type: none"> ▪ The Fairfax CMS/Imaging vendor will not be ready to engage until January 2024. ▪ Met with Fairfax judicial leadership and IT representatives and presented the three integration options that could be implemented to support the electronic processing of VSP-initiated sealing and court sealing orders between Fairfax, VSP, and OES. They are inclined towards using OES as the gateway. However, Fairfax is postponing any decision on this until after the elections in November, 2023. 	RED
Non-OES Circuit Court Imaging Systems Integration Solution	<ul style="list-style-type: none"> ▪ Engagement with the following circuit courts and their imaging system vendors has not started. <ol style="list-style-type: none"> 1. Arlington County 2. Charlottesville 3. Essex County 4. Fairfax County 5. Patrick County 6. Sussex County 	RED
VDBC	<ul style="list-style-type: none"> ▪ VDBC is dependent on the data replication changes, which are currently undergoing review and should be finalized before end of November 2023. 	YELLOW
DOC Bridge	<ul style="list-style-type: none"> ▪ Analysis is in its discovery stages and any work required will be dependent on DOC resources. 	RED
CASS	<ul style="list-style-type: none"> ▪ Analysis has not started. Impact, if any, is expected to be small. 	RED

Public Systems

System/ Application	Status Description	Status
Circuit and GD OCIS	<ul style="list-style-type: none"> Analysis has not started. These systems are depicted as Yellow since the scope is small. 	YELLOW
CPS	<ul style="list-style-type: none"> Analysis is in progress. Development resources are working on higher priorities on the criminal sealing project. 	YELLOW
OCRA & SRA	<ul style="list-style-type: none"> Analysis is in its discovery stages. This system is depicted as Yellow since the scope is small. 	YELLOW
GDPS	<ul style="list-style-type: none"> Analysis and requirements have started. New system requirements are currently being defined. 	GREEN
GDPVS	<ul style="list-style-type: none"> The system is not in production and is lower on the priority list. Therefore, analysis has not started. This system is marked as yellow since the scope is small. 	YELLOW
OCIS 2.0	<ul style="list-style-type: none"> Analysis is in progress and is dependent on the data replication design, which is currently undergoing review and should be finalized before end of November 2023. 	YELLOW
JDRPS & JSVS	<ul style="list-style-type: none"> Analysis is in its discovery stages. This system is depicted as Yellow since the scope is small. 	YELLOW
CAV & SCV Public	<ul style="list-style-type: none"> Analysis has not started. This system is depicted as Yellow since the scope is small. 	YELLOW

Financial & Accounting

System/ Application	Status Description	Status
FAS & VJOPS	<ul style="list-style-type: none"> Reduced scope of impacts by disabling online payments for sealed cases. Started analysis and requirements gathering. Development is in progress. 	GREEN
EVPS	<ul style="list-style-type: none"> Scope and requirements have been completed for EVPS. However, the analysis is pending on the EVPS Fiscal module. 	YELLOW
VJCS	<ul style="list-style-type: none"> Requirements are pending clarification of statutory language regarding access to sealed case information for collection purposes. 	GREEN
VJEFS	<ul style="list-style-type: none"> Analysis has not started. This system is depicted as Yellow since the scope, if any, is small. 	YELLOW
VACES	<ul style="list-style-type: none"> Completed analysis and determined that there were no impacts to this system. 	GREEN

Database & Data Replication

System/ Application	Status Description	Status
Data Replication	<ul style="list-style-type: none"> Analysis and Proof Of Concept (POC) are complete. It is marked as Yellow since there are several other systems dependent on the data replication solution. 	YELLOW
CMS Databases	<ul style="list-style-type: none"> Completed configuration of the role base access control changes required to restrict the access of sealed cases in Circuit, GD, and JDR databases. 	GREEN

Reports

System/ Application	Status Description	Status
Batch Reports	<ul style="list-style-type: none">Completed analysis on impacts to batch reports for FAS, GDC, and JDR. If all reports must be modified to support the legislation, the scope will be large.Clarifications are needed in the statutory language to address areas that will help OES accurately define scope.	YELLOW
DARS	<ul style="list-style-type: none">As per initial analysis the impact was identified as very small. However, based on our recent conversations with appellate court staff, the scope of changes with regards to DARS needs to be analyzed further for transferring the sealing order documents from circuit imaging systems.	YELLOW
VDS	<ul style="list-style-type: none">Reduced scope of impacts by eliminating an integration with SOS.Analysis is complete and work can start pending creation of new User IDs.	GREEN
SACR	<ul style="list-style-type: none">Analysis has not started.	RED

RISK MANAGEMENT

R1 – Data Availability

Description & Impact

The case data available across all our case management systems (CMS) was never designed for linking appealed cases (general district court [GDC] to circuit court [CC], juvenile & domestic relations district court [JDR] adult criminal cases to CC, CC to Court of Appeals of Virginia/Supreme Court of Virginia [CAV/SCV], and CAV to SCV). As a result, we have determined that automatic matching and linking of the appealed cases across CMS Systems for sealing might not always be possible. In these scenarios, manual intervention by clerks will be required to identify and seal the appealed cases and make corrections to case data across multiple case management systems. The additional complexity could impact the project schedule and timelines. Furthermore, we are discovering that the algorithm for matching appealed cases could consume a large amount of system resources, in which case additional hardware will need to be acquired along with the ongoing costs to fund software licenses and maintenance fees.

Mitigation Strategy Update

Significant progress has been made in designing complex matching algorithms required to seal all cases that are related, either from an appeal or a transfer of cases between district and circuit courts. However, extensive analysis of the available data across all our CMS systems has resulted in new scenarios. We have yet to determine the approach for linking cases from circuit court to the Court of Appeals and Supreme Court of Virginia, but indications are that any automated solution will require costly and complex algorithms.

For example, searching for related cases via the multiple algorithms that must be implemented and accessed from other courts, such as Fairfax Circuit Court, will drain system resources. Therefore, additional hardware must be acquired to support the load that these algorithms will require. Although hardware is a one-time cost, there will also be software licenses and maintenance costs.

OES plans to continue analysis and design of the matching algorithms using various case data fields (ex. Case Number, Offense Tracking Number [OTN], Document Control Number [DCN], Offense Date, Last Name, Date of Birth [DOB], etc.) to accurately identify and link appealed cases across case management systems. We are also currently working on the following efforts to mitigate this risk.

- Working with the Department of Judicial Services in OES to determine what scenarios can be automated and then queue the cases that cannot be matched for manual review/research for sealing.
- Started on development of a proof of concept to determine performance of the algorithms to approximate how much additional memory and processing power will be needed.

R2 – Scope & Complexity

Description & Impact

The scope has continued to expand, resulting from the requirements and analysis efforts. In addition, the analysis has revealed certain scenarios not specifically addressed in the criminal sealing legislation. We are seeking further clarifications to the statutory language that will help OES finalize the scope. **Note:** Any significant legislative changes to the criminal sealing legislation will impact the deadline of July 1, 2025 for implementing this project.

Mitigation Strategy Update

- Executed risk mitigation strategies to address project scope and complexity risks in addition to part of the resource constraints reported last year.
 - Increased resources allocated to this project. See the bar charts below. Figure 1 compares hours spent by month on the project in 2022 and 2023. As expected, the same comparison using project hours reflects the same pattern in Figure 2, noting that the results are directly proportional to the number of resources allocated during the same period.
 - Submitted justification and received approval from the National Criminal History Improvement Program-Supplemental Funding (NCHIP-SF) for a 2-year grant in the amount of \$1,577,800.00. This supplemental funding is being allocated to the criminal sealing project budget for acquiring 2 developers and 2 quality assurance automation engineers in Year 1 and adding one more quality assurance automation engineer in Year 2.
 - Prioritized the implementation of this project over other enhancements and initiatives from stakeholders across the organization.
 - Requested statutory language changes to the criminal sealing legislation during the 2023 General Assembly Session, which eliminated a large amount of scope. With the 2023 legislation, the complexity of the project decreased significantly by eliminating the requirement to send electronic documents to VSP.
- Completed additional analysis and started identifying detailed scope on 24 systems, an increase from 5 systems since the last report. The remaining 21 are ready to begin or are in the early stages of analysis. Out of 45 systems on the scope and implementation matrix, there are 13 marked green, 25 marked yellow, and 7 marked red.

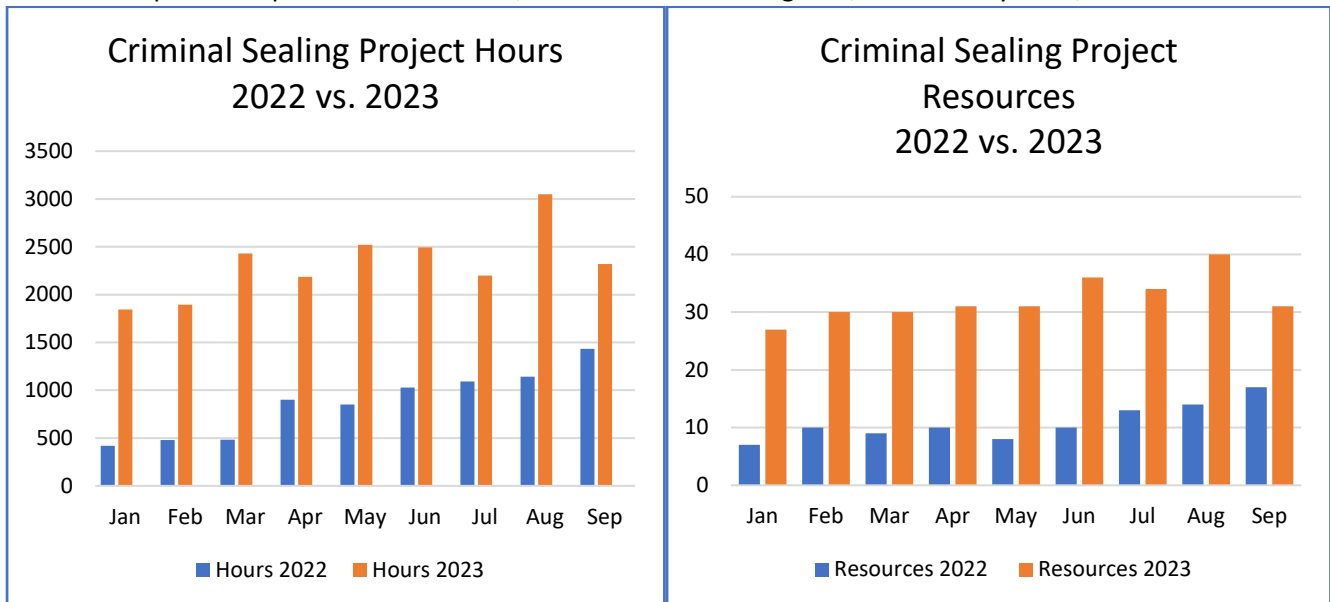


Figure 1*

Figure 2*

* Numbers for project hours and resources are approximations and not exact. These are provided to show the general year-over-year increase in resources and hours.

R3 – External Dependencies

Description & Impact

OES is dependent on several external agencies, including VSP, courts not using OES case management or imaging systems, and DOC. These dependencies could result in negatively impacting the project budget and schedule.

Mitigation Strategy Update

- Presented integration options to Fairfax Circuit Court that would enable Fairfax to send sealing orders to VSP and receive cases to be sealed from VSP. Fairfax Circuit Court has tentatively decided that the preferred option is for OES to serve as the gateway between Fairfax Circuit Court and VSP. However, Fairfax Circuit Court has requested to postpone the final decision until after the November 2023 elections, and the case management and imaging vendor is not able to begin engagement with OES until January 2024.
- Ongoing engagement with VSP and their vendor has accelerated the implementation activities for the criminal sealing project. However, the VSP's CRIS implementation is impacting the resources at OES who are also needed to support the criminal sealing project to meet the timelines. Therefore, from OES's perspective, supporting VSP's new CRIS system integration, alongside the implementation of the criminal sealing project, necessitates additional resource allocation to address both priorities.
- OES will soon begin engagement with the circuit courts not using OES imaging systems.
- OES plans to continue engagement with VSP and other agencies for implementing the changes to the existing interfaces and building new interfaces.