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November 4, 2024

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.

Based on the current scope of the criminal sealing implementation project, OES's Department of Judicial Information Technology (DJIT) has continued to execute a plan for implementation that includes changes to existing systems along with building a new centralized criminal sealing orchestration service to automate the process of sealing criminal court records 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 1, 2023 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

2024 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 2023 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

<b>System/ Application</b>	<b>Description</b>
ACMS (CAV)	Appellate Case Management System (Court of Appeals)
ACMS (SCV)	Appellate Case Management System (Supreme Court of Virginia)
Circuit Forms	Forms System used by Circuit Courts
CASS	Case Alert Subscription System
CAV Public	Court of Appeals of Virginia Public Search
CCMS	Circuit Case Management System
Circuit OCIS	Circuit Online Case Information System
CHR	Criminal History Record
CIS	Circuit Imaging System
CMS Databases	Relational Database Management Systems supporting OES Case Management Systems
COVERS	Commonwealth of Virginia Electronic Recordation System (land records)
CPS	Circuit Public Search
CPSS	Court Performance and Statistical Services Division of the Department of Judicial Services (OES)
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.
DCN	Document Control Number
DIMS	Specialty Docket Information Management System
DOC Bridge	Department of Corrections Bridge
EMAG	EMagistrate System
EVPS	Electronic Voucher Payment System
Enterprise FORMS	A Forms System used by J&DR courts and numerous other internal systems
Fairfax Bridge	New sealing interface (web service) between OES and Fairfax Circuit Court CMS
FAS	Financial Accounting System
GCMS	General District Case Management System
GCOM	Vendor supporting interface development to support sealing implementation
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	J&DR Case Management System
JDIS	J&DR Imaging System
JDRPS	J&DR Public Search

<b>System/ Application</b>	<b>Description</b>
JSVS	J&DR Secure Viewing System
OCIS 2.0	Online Case Information System
OCRA	Officer of the Court Remote Access (Circuit Courts only)
OTN	Offense Tracking Number
RMS Gateway	Records Management Systems Gateway (web service interface with the SOS)
SACR	Staff Attorney Case Reports
SCV Public	Supreme Court of Virginia Public Search
SEDE	Secure Electronic Docket Exporter
SOS	Sealing Orchestration Service
SPRITE	State Police Records IT Exchange
SRA	Secure Remote Access (Circuit Courts only)
SWIFT!	Sentencing Worksheet Information File Transfer
VACES	Virginia Appellate Courts Efilng 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 VSP for sealing and other purposes not related to sealing.

## PROJECT SCOPE & IMPLEMENTATION STATUS

The following pages are intended to depict the overall scope, complexity, and implementation progress of the criminal sealing project 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 Black, Blue, Green, Yellow, Orange, and Red to depict the amount of progress made on OES systems and applications to support the implementation of this legislation. Below each scope & implementation status matrix is a detailed explanation.

### **NO IMPACT**

Indicates that analysis was performed and concluded that the system/application does not require changes to support the legislation defined in the Criminal Sealing bill.

### **COMPLETE**

Indicates the system changes have been implemented to support the sealing legislation and have been staged in production for July 1, 2025. These systems will continue to support any dependent systems and will participate in the end-to-end system testing while the remaining systems complete development and quality assurance.

### **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 been completed and development and quality assurance is progressing slowly due to dependencies on other systems' design decisions and/or priorities.

### **ORANGE**

Indicates very large scope, complexity, and range of impact as compared to other systems. Major development effort is in progress to meet the timelines.

### **RED**

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

## Case Management Systems (CMS)

### Scope & Implementation Status Matrix: Case Management Systems (CMS)

CCMS	ACMS (CAV)	ACMS (SCV)
<ul style="list-style-type: none"> <li>• Court Initiated Sealing</li> <li>• Search &amp; View Sealed Case</li> <li>• Update Sealed Case</li> <li>• Revert Seal &amp; Void Seal</li> <li>• VSP Initiated Sealing</li> <li>• Petition Initiated Sealing</li> <li>• Sealing Traffic Infractions</li> <li>• VSP Bridge Integration</li> <li>• SOS Integration</li> <li>• CIS Integration</li> <li>• Sealing Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                             <ul style="list-style-type: none"> <li>- Search Sealed Case</li> <li>- Update Sealed Case</li> </ul> </li> <li>• SOS Integration</li> <li>• VACES/DARS Integration</li> <li>• Sealing Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                             <ul style="list-style-type: none"> <li>- Search Sealed Case</li> <li>- Update Sealed Case</li> </ul> </li> <li>• SOS Integration</li> <li>• VACES/DARS Integration</li> <li>• Sealing Reports</li> </ul>
GCMS	JCMS	EMAG
<ul style="list-style-type: none"> <li>• Court Initiated Sealing                             <ul style="list-style-type: none"> <li>- Single/Multiple Case Sealing</li> <li>- Validations &amp; Override</li> </ul> </li> <li>• Search &amp; View Sealed Case</li> <li>• Update Sealed Case</li> <li>• Revert Seal &amp; Void Seal</li> <li>• VSP Initiated Sealing</li> <li>• Seal Related Cases</li> <li>• SOS Integration</li> <li>• Sealing Traffic Infractions</li> <li>• Sealing Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Court Initiated Sealing                             <ul style="list-style-type: none"> <li>- Single Case Sealing</li> <li>- Validations &amp; Override</li> </ul> </li> <li>• Search &amp; View Sealed Case</li> <li>• Update Sealed Case</li> <li>• Revert Seal &amp; Void Seal</li> <li>• VSP Initiated Sealing</li> <li>• Seal Related Cases</li> <li>• SOS Integration</li> <li>• Sealing Traffic Infractions</li> <li>• Sealing Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                             <ul style="list-style-type: none"> <li>- Search Sealed Case/Charge</li> <li>- Update Sealed Case/Charge</li> </ul> </li> <li>• SOS Integration</li> <li>• Reports (new &amp; existing)</li> </ul>

*Scope & Implementation Status Matrix Explanation: Case Management Systems (CMS)*

System/ Application	Status Description	Status
ACMS (SCV & CAV)	<ul style="list-style-type: none"> <li>▪ Completed analysis &amp; design documentation for finding and sealing CAV and SCV cases.</li> <li>▪ Started development on the interfaces between SOS and ACMS (CAV) and SOS and ACMS (SCV).</li> <li>▪ Completed development and testing changes to the ACMS user interfaces.</li> <li>▪ Although progress has been made, there is still pending scope that is dependent on changes to the statutory language to address unresolved issues with appellate court sealing procedures.</li> </ul>	<b>YELLOW</b>
CCMS	<ul style="list-style-type: none"> <li>▪ Finalized the technical specifications for the system interface with CIS.</li> <li>▪ Completed 95% of the development and quality assurance to support the sealing functionality for workflow that supports automatic sealing under § 19.2-392.8.</li> <li>▪ Completed 75% of the development and quality assurance for the sealing functionality for the VSP initiated sealing workflow that supports § 19.2-392.6 and § 19.2-392.11.</li> <li>▪ Started requirements and design on the petition-initiated sealing functionality defined in § 19.2-392.12.</li> <li>▪ Started analysis of requirements in § 19.2-392.17 for sealing traffic infractions older than 11 years in circuit court systems.</li> </ul>	<b>ORANGE</b>
GCMS	<ul style="list-style-type: none"> <li>▪ Completed the systems integration testing of the sealing functionality with the SOS to support § 19.2-392.8 and encountered no issues/defects.</li> <li>▪ Started system integration testing with the SOS to support VSP initiated sealing (§19.2-392.6 &amp; §19.2-392.11).</li> <li>▪ Implemented additional sealing functionality to support:                             <ul style="list-style-type: none"> <li>○ Sealing multiple cases</li> <li>○ Searching for sealed cases</li> <li>○ Reverting and Voiding the Sealing</li> </ul> </li> <li>▪ Started developing Sealing Reports.</li> </ul>	<b>GREEN</b>
JCMS	<ul style="list-style-type: none"> <li>▪ Completed the systems integration testing of the sealing functionality with the SOS to support § 19.2-392.8.</li> </ul>	<b>GREEN</b>
EMAG	<ul style="list-style-type: none"> <li>▪ Completed data analysis to determine how to automatically match GCMS cases received from the case management systems to cases in EMAG, so that the appropriate general district cases are sealed in EMAG.</li> <li>▪ Completed the development and started quality assurance testing the integration with SOS.</li> </ul>	<b>GREEN</b>



## FORMS & Imaging Systems

### Scope & Implementation Status Matrix: FORMS & Imaging Systems

CIS	GDIS	JDIS
<ul style="list-style-type: none"><li>• Analysis &amp; Design</li><li>• Detailed Requirements<ul style="list-style-type: none"><li>- Seal Case Images &amp; Docs</li><li>- Seal Sealing Order</li></ul></li><li>• Receive CHR from VSP</li><li>• RMS Sealing Gateway Integration</li><li>• CCMS Integration</li><li>• Reports (new &amp; existing)</li></ul>	<ul style="list-style-type: none"><li>• Analysis &amp; Design</li><li>• Detailed Requirements<ul style="list-style-type: none"><li>- Seal Case Images &amp; Docs</li><li>- Seal Warrant/Sealing Order</li></ul></li><li>• RMS Sealing Gateway Integration</li><li>• Reports (new &amp; existing)</li></ul>	<ul style="list-style-type: none"><li>• Analysis &amp; Design</li><li>• Detailed Requirements<ul style="list-style-type: none"><li>- Seal Case Images &amp; Docs</li><li>- Seal Warrant/Sealing Order</li></ul></li><li>• RMS Sealing Gateway Integration</li><li>• Reports (new &amp; existing)</li></ul>
Circuit FORMS	GD FORMS	Enterprise FORMS
<ul style="list-style-type: none"><li>• Analysis &amp; Design</li><li>• Detailed Requirements</li><li>• Sealing Order Template (Court Initiated)</li><li>• Sealing Order Template (VSP Initiated)</li><li>• Sealing Order Template (Petition Initiated)</li></ul>	<ul style="list-style-type: none"><li>• Analysis &amp; Design</li><li>• Detailed Requirements</li><li>• Sealing Order Template (Court Initiated Only)</li></ul>	<ul style="list-style-type: none"><li>• Analysis &amp; Design</li><li>• Detailed Requirements</li><li>• Sealing Order Template (Court Initiated Only)</li></ul>

*Scope & Implementation Status Matrix Explanation: FORMS & Imaging Systems*

System/ Application	Status Description	Status
Circuit Forms/ GD FORMS	<ul style="list-style-type: none"> <li>▪ Analysis has started. These systems are depicted as Yellow since the scope is small.</li> <li>▪ Received draft sealing forms and updates to existing forms.</li> </ul>	<b>YELLOW</b>
Enterprise FORMS	<ul style="list-style-type: none"> <li>▪ Completed development and quality assurance testing to ensure that historical forms related to sealed cases are hidden from users without elevated access.</li> <li>▪ Work has not started on developing the new sealing form.</li> </ul>	<b>YELLOW</b>
CIS	<ul style="list-style-type: none"> <li>▪ Completed development and quality assurance system integration testing the 2 interfaces between the OES managed circuit court imaging system, CIS, and the OES managed case management system, CCMS, to support the court initiated sealing workflow pursuant to § 19.2-392.8.</li> <li>▪ Finalized the technical specifications for the system interface with CCMS and SOS.</li> <li>▪ Completed 95% of the development and quality assurance to support the sealing functionality for the workflow that supports automatic sealing under § 19.2-392.8.</li> <li>▪ Started development on the sealing functionality for the VSP initiated sealing workflow that supports § 19.2-392.6 and § 19.2-392.11.</li> <li>▪ Started requirements and design on the petition initiated sealing functionality defined in § 19.2-392.12.</li> <li>▪ Started analysis of requirements in § 19.2-392.17 for sealing traffic infractions older than 11 years in circuit court systems.</li> </ul>	<b>ORANGE</b>
GDIS & JDIS	<ul style="list-style-type: none"> <li>▪ Completed integration with the RMS Gateway and started system integration testing.</li> </ul>	<b>YELLOW</b>

## New Sealing Interfaces & Database Changes

### Scope & Implementation Status Matrix: New Sealing Interfaces & Database Changes

<p><b>Sealing Orchestration Service</b></p> <ul style="list-style-type: none"> <li>• Architecture &amp; Design</li> <li>• Matching Related Cases</li> <li>• Sealing/Unsealing Workflow</li> <li>• User Interface</li> <li>• Exception Reports</li> <li>• System Integration               <ul style="list-style-type: none"> <li>- VSP Bridge</li> <li>- OES CMS &amp; EMAG</li> <li>- FAS</li> <li>- RMS Sealing Gateway</li> <li>- Fairfax Bridge</li> </ul> </li> </ul>	<p><b>VSP Bridge</b></p> <ul style="list-style-type: none"> <li>• SOS Integration</li> <li>• CCMS Integration</li> <li>• CIS Integration</li> <li>• CHR Integration</li> <li>• Interface Specifications (each interface)</li> <li>• Exception Handling Logic</li> </ul>	<p><b>Fairfax Bridge</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• File Requirements</li> <li>• Data Requirements               <ul style="list-style-type: none"> <li>- Bulk Sealing Orders</li> <li>- Court Orders</li> </ul> </li> <li>• SFTP Server Configuration</li> <li>• VSP Bridge Integration</li> </ul>
<p><b>RMS Sealing Gateway</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• SOS Integration</li> <li>• Peripheral Systems Integrations</li> </ul>	<p><b>Data Replication</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Database Modeling (GCMS, JCMS, CCMS)</li> <li>• Role Based Access Control</li> <li>• Isolate Sealed Cases in Secured Area</li> </ul>	<p><b>Non-CIS Circuit Courts</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• CCMS Sealing Solution               <ul style="list-style-type: none"> <li>- Arlington County</li> <li>- Charlottesville (converting)</li> <li>- Essex County (quote)</li> <li>- Fairfax County (work tracked with Fairfax Circuit CMS integration)</li> <li>- Sussex County (quote)</li> <li>- Wise County</li> </ul> </li> </ul>
	<p><b>CMS Databases</b></p> <ul style="list-style-type: none"> <li>• Configure role based access controls to restrict sealed cases</li> </ul>	

*Scope & Implementation Status Matrix Explanation: New Sealing Interfaces & Database Changes*

System/ Application	Status Description	Status
SOS	<ul style="list-style-type: none"> <li>▪ Finalized the technical specifications for the following interfaces:                             <ul style="list-style-type: none"> <li>○ SOS and RMS Sealing Gateway</li> <li>○ SOS and OES Subsystems</li> </ul> </li> <li>▪ Built additional interfaces between the OES Sealing Orchestration Service (SOS) and the following OES subsystems:                             <ul style="list-style-type: none"> <li>○ Financial Accounting System (FAS)</li> <li>○ Magistrate system (EMAG)</li> </ul> </li> <li>▪ Started development on the interface between the OES SOS and the OES case management systems to support VSP initiated sealing workflow as described in § 19.2-392.6 and § 19.2-392.11.</li> <li>▪ Started eliciting requirements to support additional sealing workflows:                             <ul style="list-style-type: none"> <li>○ Petition initiated sealing in circuit courts to satisfy § 19.2-392.12.</li> <li>○ Sealing 11-year-old traffic infractions at all court levels to satisfy § 19.2-392.17.</li> </ul> </li> <li>▪ Completed analysis &amp; design documentation for various sealing scenarios:                             <ul style="list-style-type: none"> <li>○ Finding and sealing transferred and appealed Cases in lower tribunal court case management systems.</li> <li>○ Finding and sealing CAV and SCV cases in the Appellate Court case Management System, ACMS.</li> </ul> </li> <li>▪ Tracking 70 use case scenarios for the multiple integrations with OES systems.</li> <li>▪ Started development on the exceptions reports that will be used by clerks for identifying cases that cannot be automatically sealed and taking the appropriate action to manually seal these cases.</li> </ul>	<b>GREEN</b>
VSP Bridge	<ul style="list-style-type: none"> <li>▪ Finalized VSP interface specifications for both the Court initiated and VSP initiated sealing workflow.</li> <li>▪ Established network connectivity between OES and VSP vendor solution CRIS, which is replacing the existing CCRE system.</li> <li>▪ VSP CRIS team was successfully able to connect, and smoke test the new multi-case sealing request interface hosted by OES for criminal sealing.</li> <li>▪ Completed first iteration of development and quality assurance testing on a VSP case search algorithm to assist VSP with a data correction effort for locating missing case numbers.</li> <li>▪ Documented technical specifications for the interface between VSP and OES for electronically delivering the criminal history record to circuit courts.</li> </ul>	<b>YELLOW</b>
RMS Sealing Gateway	<ul style="list-style-type: none"> <li>▪ Started development and quality assurance testing on the integration with the SOS.</li> <li>▪ Started system integration testing the interfaces between GCMS, SOS, &amp; GDIS and JCMS, SOS, &amp; JDIS.</li> </ul>	<b>GREEN</b>

*Scope & Implementation Status Matrix Explanation: New Sealing Interfaces & Database Changes (CONTINUED)*

<b>System/ Application</b>	<b>Status Description</b>	<b>Status</b>
Fairfax Circuit Court Bridge	<ul style="list-style-type: none"> <li>▪ Finalized architecture approach with Fairfax Circuit and provided the necessary technical documentation for analysis and design of the Fairfax Circuit case management system integration with the OES SOS to support automated sealing for both Court and VSP initiated sealing workflows.</li> <li>▪ Development is in progress at OES. Fairfax Circuit timeline is not defined. Coordination with Fairfax Circuit has been challenging and meetings are often delayed.</li> <li>▪ Provided detailed specifications, OES requirements, and other questions for consideration by Fairfax Circuit, including questions on the use of VACES for electronic delivery of the criminal history record from VSP.</li> </ul>	<b>RED</b>
Non-OES Circuit Court Imaging Systems Integration Solution	<ul style="list-style-type: none"> <li>▪ Scope and high-level design have been defined and determined that the solution will be built in CCMS. Development of this solution has not yet started.</li> <li>▪ For July 1, 2025, the following circuit courts will not be using CIS and will be required to seal images in their respective vendor’s imaging system. Note that Sussex County does not currently have a digital imaging solution.               <ol style="list-style-type: none"> <li>1. Arlington</li> <li>2. Wise</li> <li>3. Fairfax</li> <li>4. Sussex</li> </ol> </li> </ul>	<b>YELLOW</b>
Data Replication	<ul style="list-style-type: none"> <li>▪ Implemented the first phase of the architecture for data replication and warehouse processes to support sealing in various OES internal and public systems.</li> <li>▪ These changes enabled several other systems to deploy changes to production, which included OCIS 2.0, VDBC, DOC Bridge, and CASS.</li> </ul>	<b>GREEN</b>
CMS Databases	<ul style="list-style-type: none"> <li>▪ Completed configuration of the role based access control changes required to restrict the access of sealed cases in Circuit, GDC, and J&amp;DR, CAV, SCV, and EMAG databases.</li> <li>▪ Performance impact of the sealing changes to the CMS databases needs to be evaluated and additional system resources will be added as necessary to maintain the optimal performance of the case management systems.</li> </ul>	<b>GREEN</b>

## Financial & Accounting Systems

### Scope & Implementation Status Matrix: Financial & Accounting Systems

<b>FAS (Circuit/GD/JDR)</b>	<b>VJOPS (Circuit/JDR)</b>
<ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                             <ul style="list-style-type: none"> <li>- Search Sealed Case</li> <li>- Load Sealed Case</li> <li>- Update Sealed Case</li> <li>- Sealing Fee Fund</li> <li>- Receipting</li> </ul> </li> <li>• SOS Integration</li> <li>• RCAC</li> <li>• Sealing Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                             <ul style="list-style-type: none"> <li>- Search Sealed Case</li> <li>- Restrict search on sealed cases</li> </ul> </li> </ul>
<b>EVPS</b>	<b>VJCS (Circuit/GD/JDR)</b>
<ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                             <ul style="list-style-type: none"> <li>- Search Sealed Case</li> <li>- Search Sealed Case</li> <li>- Sealing Voucher Images</li> <li>- Seal Fund</li> </ul> </li> <li>• Sealing Reports</li> <li>• Audit Report (existing)</li> </ul>	<ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Search Sealed Case</li> <li>• Pay Sealed Case</li> <li>• Accept Petition fees</li> <li>• Reports (new &amp; existing)</li> </ul>
	<b>VJEFS</b>
	<ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                             <ul style="list-style-type: none"> <li>- Seal Fund</li> <li>- Search Sealed Case</li> </ul> </li> <li>• SOS Integration</li> <li>• Reports (new &amp; existing)</li> </ul>

### Scope & Implementation Status Matrix Explanation: Financial & Accounting Systems

System/ Application	Status Description	Status
FAS	<ul style="list-style-type: none"> <li>▪ Completed implementation of sealing changes in the FAS user interface and deployed to production on December 2, 2023.</li> <li>▪ Pending successful testing of the sealing changes to the databases, FAS will be ready for production.</li> </ul>	<b>GREEN</b>
VJOPS	<ul style="list-style-type: none"> <li>▪ Built, tested, and implemented changes required to support criminal sealing, which were implemented on June 2, 2024.</li> </ul>	<b>COMPLETE</b>
EVPS	<ul style="list-style-type: none"> <li>▪ Scope and requirements have been completed for EVPS.</li> <li>▪ Additional analysis may be needed for implementation of the sealing fee fund.</li> </ul>	<b>YELLOW</b>
VJCS & VJEFS	<ul style="list-style-type: none"> <li>▪ Determined that no changes are needed.</li> </ul>	<b>NO IMPACT</b>

**District Courts**

**Circuit Court**

<p><b>GD OCIS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> <li>- Enable Payments for Sealed Cases</li> </ul> </li> </ul>	<p><b>OCIS 2.0</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Update queries</li> <li>- Block Sealed Cases from Public View</li> </ul> </li> </ul>	<p><b>Circuit OCIS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> </ul> </li> </ul>	<p><b>COVERS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• RMS Sealing Gateway Integration</li> </ul>
<p><b>GDPS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> </ul> </li> <li>• RMS Sealing Gateway Integration</li> </ul>	<p><b>JDRPS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> </ul> </li> <li>• RMS Sealing Gateway Integration</li> </ul>	<p><b>CPS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> </ul> </li> <li>• RMS Sealing Gateway Integration</li> </ul>	<p><b>OCRA</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> </ul> </li> <li>• RMS Sealing Gateway Integration</li> </ul>
<p><b>GDSVS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> </ul> </li> <li>• RMS Sealing Gateway Integration</li> </ul>	<p><b>JSVS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> </ul> </li> <li>• RMS Sealing Gateway Integration</li> </ul>	<p><b>SRA</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements                     <ul style="list-style-type: none"> <li>- Block Sealed Cases from Public View</li> </ul> </li> <li>• RMS Sealing Gateway Integration</li> </ul>	

**CAV/SCV**

<p><b>CAV Public</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Block Sealed Cases from Public View in CAV Kiosk &amp; CAV Public Apps</li> <li>• SOS Integration</li> <li>• Reports (new &amp; existing)</li> </ul>	<p><b>SCV Public</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Block Sealed Cases from Public View in SCV Kiosk &amp; SCV Public Apps</li> <li>• SOS Integration</li> <li>• Reports (new &amp; existing)</li> </ul>
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*Scope & Implementation Status Matrix Explanation: Public Systems*

<b>System/ Application</b>	<b>Status Description</b>	<b>Status</b>
OCIS 2.0	<ul style="list-style-type: none"> <li>▪ Built, tested, and implemented changes required to support criminal sealing leveraging data replication changes, which were implemented on October 6, 2024.</li> </ul>	<b>COMPLETE</b>
Circuit OCIS & GD OCIS	<ul style="list-style-type: none"> <li>▪ Analysis concluded the scope of the effort. However, this is dependent on sealing changes to the databases.</li> </ul>	<b>YELLOW</b>
CAV Public & SCV Public	<ul style="list-style-type: none"> <li>▪ Analysis is complete. Dependent on database changes to hide sealed cases.</li> </ul>	<b>YELLOW</b>
OCRA & SRA	<ul style="list-style-type: none"> <li>▪ Analysis is complete. Development is dependent on the RMS Sealing Gateway.</li> </ul>	<b>YELLOW</b>
CPS	<ul style="list-style-type: none"> <li>▪ Analysis is complete. Development is dependent on the RMS Sealing Gateway.</li> </ul>	<b>YELLOW</b>
GDPS & GDPVS	<ul style="list-style-type: none"> <li>▪ Analysis is complete. Development is dependent on the RMS Sealing Gateway.</li> </ul>	<b>YELLOW</b>
JDRPS & JSVS	<ul style="list-style-type: none"> <li>▪ Analysis is complete. Development is dependent on the RMS Sealing Gateway.</li> </ul>	<b>YELLOW</b>
COVERS	<ul style="list-style-type: none"> <li>▪ Analysis is complete. Development is dependent on the RMS Sealing Gateway.</li> </ul>	<b>YELLOW</b>



## Existing Interfaces & Other Systems

### Scope & Implementation Status Matrix: Existing Interfaces & Other Systems

<p><b>DOCBridge</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Block sealed cases from DOC</li> </ul>	<p><b>Batch Jobs &amp; Reports</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Update GD COBOL Programs</li> <li>• Update Circuit COBOL Programs</li> <li>• Update JDR COBOL Programs</li> <li>• Update FMS COBOL Programs</li> </ul>	<p><b>VACES</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Data Lookup Requirements</li> <li>• Service Layer Requirements</li> <li>• Other Integration Requirements</li> <li>• DARS / SOS Integration</li> </ul>	<p><b>SWIFT!</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>- Block Sealed Cases from Public View</li> <li>• RMS Sealing Gateway Integration</li> </ul>
<p><b>VDBC</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Restrict VDBC from using Sealed Cases for DOB confirmation</li> </ul>	<p><b>Disposition Interfaces</b></p> <ul style="list-style-type: none"> <li>• Analysis for Criminal Sealing Implementation for all levels of courts</li> <li>• Coordinate &amp; Implement Changes with each Interface within scope</li> </ul>	<p><b>DARS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• CIS Integration</li> <li>• VACES Integration</li> </ul>	<p><b>SACR</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> </ul>
<p><b>CASS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Filter out sealed cases from alerts</li> </ul>	<p><b>VDS (Circuit/GD/JDR)</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Implement changes to seal videos and minutes</li> <li>• Regression Testing</li> <li>• Reports (new &amp; existing)</li> </ul>	<p><b>CPSS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Block details of sealed cases in CPSS</li> </ul>	<p><b>DIMS</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>• Block sealed Cases in DIMS</li> </ul>
		<p><b>SEDE</b></p> <ul style="list-style-type: none"> <li>• Analysis &amp; Design</li> <li>• Detailed Requirements</li> <li>- Block Sealed Cases from Public View</li> <li>• RMS Web Service Integration</li> </ul>	

*Scope & Implementation Status Matrix Explanation: Existing Interfaces & Other Systems*

<b>System/ Application</b>	<b>Status Description</b>	<b>Status</b>
Batch Jobs & Reports	<ul style="list-style-type: none"> <li>Completed analysis of impacts to batch reports for FAS, GDC, and J&amp;DR and determined that impacts may only be needed for 2 batch reports for the J&amp;DR courts, depending on clarifications in the statutory language.</li> </ul>	<b>GREEN</b>
Disposition Interfaces	<ul style="list-style-type: none"> <li>Started development to hide sealed cases in the OES disposition files produced for external government entities.</li> </ul>	<b>GREEN</b>
VDS	<ul style="list-style-type: none"> <li>Reduced scope of impacts by eliminating an integration with SOS.</li> <li>Analysis is complete and work can start pending creation of new User IDs.</li> </ul>	<b>GREEN</b>
DIMS	<ul style="list-style-type: none"> <li>Discovered additional system that could potentially be impacted.</li> <li>Performed analysis and determined there is no impact.</li> </ul>	<b>NO IMPACT NO IMPACT</b>
SACR	<ul style="list-style-type: none"> <li>Performed analysis and determined there is no impact.</li> </ul>	
VDBC	<ul style="list-style-type: none"> <li>Built, tested, and implemented changes required to support criminal sealing leveraging data replication changes, which were implemented on October 6, 2024.</li> </ul>	<b>COMPLETE</b>
DOC Bridge	<ul style="list-style-type: none"> <li>Built, tested, and implemented changes required to support criminal sealing leveraging data replication changes, which were implemented on October 6, 2024.</li> </ul>	<b>COMPLETE</b>
CASS	<ul style="list-style-type: none"> <li>Built, tested, and implemented changes required to support criminal sealing leveraging data replication changes, which were implemented on October 6, 2024.</li> </ul>	<b>COMPLETE</b>
SWIFT!	<ul style="list-style-type: none"> <li>Analysis is complete. Development is dependent on the RMS Sealing Gateway.</li> </ul>	<b>YELLOW</b>
SEDE	<ul style="list-style-type: none"> <li>Analysis is complete. Development is dependent on the RMS Sealing Gateway.</li> </ul>	<b>YELLOW</b>
CPSS	<ul style="list-style-type: none"> <li>Analysis is complete. Work effort has been estimated and planned.</li> </ul>	<b>GREEN</b>
DARS	<ul style="list-style-type: none"> <li>Still finalizing the sealing business processes.</li> </ul>	<b>YELLOW</b>
VACES	<ul style="list-style-type: none"> <li>Still finalizing the sealing business processes.</li> <li>Engaging in further analysis of the scope of changes regarding VACES for transferring sealing order documents from circuit imaging systems.</li> </ul>	<b>YELLOW</b>

## RISK MANAGEMENT

### *Risk Summary*

The OES has been working diligently on discovering the scope, documenting requirements, implementing system changes, and coordinating with third parties to fully implement the criminal sealing legislation. In just the past six months, OES has discovered several major increases in scope that impact our ability to deliver all the functionality required to support this legislation by July 1, 2025. Also, data inconsistencies and unavailability for older cases complicate and add more challenges to implementation of automatic sealing.

Necessary clarifications to the statutory language have been requested by OES but have not yet been addressed. Any significant legislative changes to the criminal sealing court processes will impact the deadline of July 1, 2025, for implementing this project.

Below is a list of the risks raised that are being mitigated. The next section describes the progress resulting from actions the OES has taken to further mitigate these risks.

1. Traffic infractions in GDC: 19.2-392.17(A) requires certain traffic infractions to be sealed after 11 years. The original analysis determined that because of the 10-year purge that occurs in the GD courts, no action would be necessary for this. New scenarios were discovered where some traffic infractions are kept past 10 years, so a system must be developed to handle these scenarios.
2. Electronic transmission of criminal history reports to circuit courts: 2023 amendments to the criminal sealing legislation, along with systems being implemented by VSP require the electronic transmission/receipt of the petitioner's criminal history record from the VSP to the Circuit Court by July 1, 2025. This requires new interfaces, changes to several existing systems, and programs to ensure the criminal history is permanently destroyed at the proper time.
3. Delinquency cases in J&DR: Originally no changes to the delinquency division of the Juvenile & Domestic Relations (J&DR) Case Management System (JCMS) were believed necessary, but it was later determined that delinquency cases transferred to the Circuit Courts for trial as an adult require sealing of cases in the juvenile delinquency division. This has a major impact on the JCMS and other ancillary systems in the J&DR Courts.
4. Appellate court procedures: In situations where a case starts in a district court, is ultimately appealed to the Supreme Court of Virginia, is returned to Circuit Court, and subsequently becomes eligible for automatic sealing, it was determined early in the analysis that only the meta data about the sealing order would be transmitted to all the appellate and lower courts. However, staff with the Supreme Court of Virginia and the Court of Appeals have determined that the order document must also be transmitted, requiring changes to several workflows and new system interfaces.
5. Data for transferred and appealed cases: Insufficient data to connect laterally and vertically transferred, related, and appealed cases require much more complex matching logic than originally envisioned be developed at every court level.
6. Fairfax Circuit Court: Fairfax Circuit Court does not use the statewide Circuit Case Management System (CCMS). They have asked the OES to act as a middleman between them and the VSP for criminal sealing. This requires the OES to build multiple interfaces and workflows specific to Fairfax.
7. CCRE data: In December of 2023, VSP notified OES of an extensive set of criminal charges in CCRE that do not contain a court case number, code site, and/or code site description. The court case number is the primary link for matching VSP charges with court cases. This finding resulted in additional work for VSP to locate the missing information. OES assisted with locating court case numbers in OES systems and was successful in locating about 5% of the missing court case numbers. During this analysis effort for locating the missing data required to successfully process VSP initiated sealing, it has become evident that data cleanup will need to be established as a recurring process for VSP to determine what charges are eligible for sealing pursuant to [§ 19.2-392.6](#) and [§ 19.2-392.11](#). Resources at both VSP and OES will be needed to help coordinate this ongoing manual effort in cleaning up data.

8. OES resources and costs: In the past 12 months, OES IT resources allocated to criminal sealing implementation have increased from averaging around 35 resources logging 3,000 person hours per month to well over **90** resources logging **8,600** hours a month as of September 31, 2024. The urgent demands of the criminal sealing implementation have necessitated reassigning most of our application development resources, significantly impeding our ability to maintain and enhance the diverse array of court IT systems in response to evolving user needs and requirements. The graph below illustrates the project cost increase over the past year.

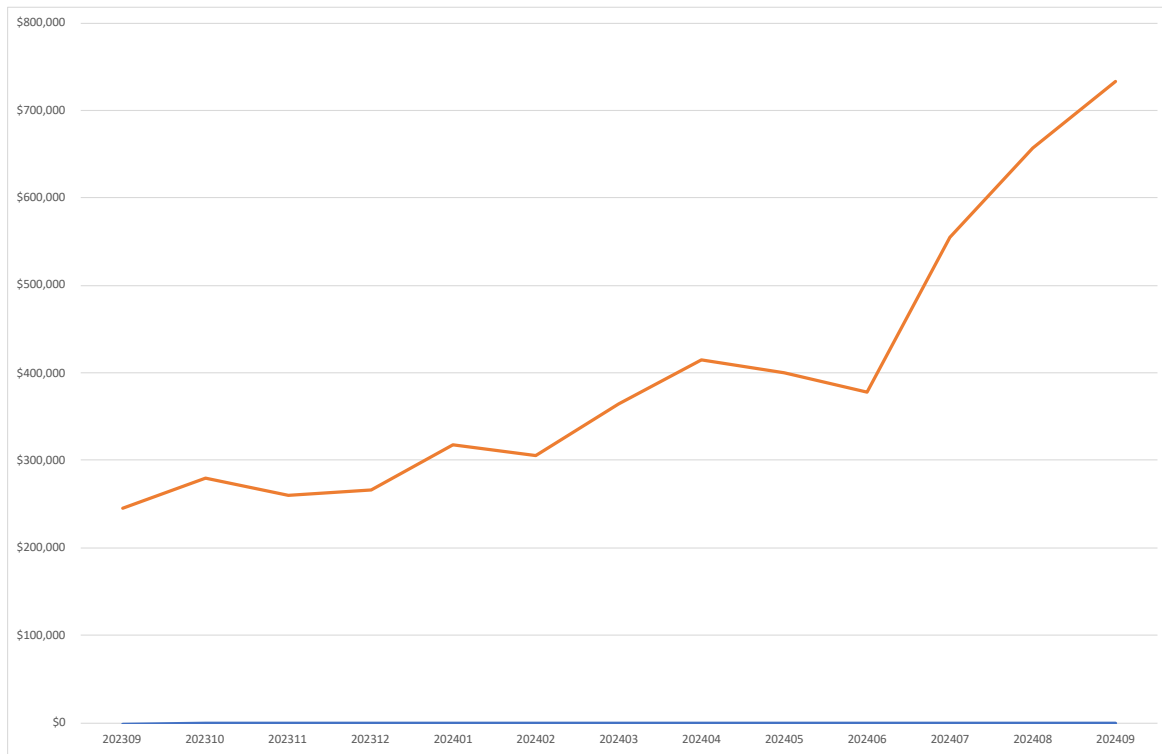


Figure 1 - Project Cost: September 2023 - September 2024

9. VSP's CRIS Implementation: This is impacting the resources at the OES who are also needed to support the criminal sealing project to meet the timelines. The April 2025 CRIS release will coincide with the OES' training for clerks and judges for the OES Criminal Sealing project implementation.

### Risk Mitigation Updates

This section describes the actions and progress made in mitigating all the risks noted in the previous section. They are broken down into 3 categories: 1) Scope and Complexity, 2) Project Costs, and 3) External Dependencies.

#### 1) Scope and Complexity

- OES is seeking statutory language changes to the criminal sealing legislation that are necessary to address certain issues affecting implementation.
- Additional resources have been diverted from other projects to speed up the implementation of the criminal sealing changes, especially for the large and complex workflows in certain CMS and imaging systems. A team realignment and resourcing strategy has been adopted based on the pending scope and priorities of the changes needed within various courts IT systems to support the sealing legislation.
- Sealing functionality has been incrementally rolled out to production that will not be available to end users until the sealing functionality is enabled (i.e., sealing features are released in an "off" state).
- OES has continued to prioritize this project over other enhancements and initiatives from stakeholders across the organization. Requested and/or upgraded features for court systems that are not essential for July 1, 2025 implementation are being tracked separately for implementation after July 1, 2025.

- Significant progress has been made in designing complex matching algorithms required to seal all cases that are related, either from an appeal or a transferred case.
- Each case management system is implementing more functionality and controls for clerks to manually reprocess exceptions encountered during automatic sealing by the courts' IT Systems.  
Note: Older cases without appropriate identifiers (OTN, DCN, etc.) for matching related cases across court levels may not get automatically sealed and will be noted as exceptions for manual sealing.
- For the exception scenarios, where cases cannot be automatically sealed, OES is building exception reports that the court clerks will use for resolving the exceptions and manually sealing the case(s) once found. For exceptions that clerks cannot resolve, OES DJIT will provide support to locate and initiate the sealing process. OES is working to determine what exceptions clerks will be able to resolve so that the proper instructions are provided on the report. OES has requested funding for additional staff in the Department of Judicial Services to support clerks with these processes.
- OES is collaborating with VSP for finalizing the end-to-end test strategy using scrubbed production data to support multiple sealing scenarios. This will mean setting up data and coordinating the testing across various court IT systems and VSP systems which are undergoing changes for the sealing bill implementation.
- OES has begun planning for a comprehensive user acceptance testing and a detailed roll out strategy in the first quarter of 2025 by collaborating with various stakeholders.

## 2) Project Costs

- OES has onboarded new resources for the approved 2023 National Criminal History Improvement Program-Supplemental Funding (NCHIP-SF-2023) 2-year grant of approximately \$1.5 million, to accelerate the implementation of Criminal Sealing project. As part of this grant, 2 developers and 3 quality assurance automation engineers were hired.
- OES applied and received approval for additional funding from the National Criminal History Improvement Program-Supplemental Funding (NCHIP-SF-2024) 2-year grant of approximately \$1 million, starting on January 1, 2025, and ending on December 31, 2026. This supplemental funding will be allocated to the criminal sealing project for acquiring 3 developers and 4 quality assurance automation engineers. These resources will be utilized for stabilizing systems, developing enhancements, reports, and any other changes required by amendments to this legislation after the July 1, 2025 effective date.

## 3) External Dependencies

- OES has continued engagement with the VSP and other agencies for implementing the changes to the existing interfaces and building new interfaces.
- OES has delivered sealing functionality to the Department of Corrections by modifying the existing interface (DOC Bridge) to hide sealed cases.
- OES has designed a solution that circuit courts not using CIS, the OES hosted imaging system, will be able to use to seal cases in OES systems without requiring a direct interface to the circuit court's vendor managed imaging system.
- OES has engaged with Fairfax Circuit Court and finalized the architecture/design for transmitting sealing data to/from Virginia State Police. The OES DJIT team has begun the development in line with the specifications provided to Fairfax Circuit Court.