

WASHINGTON STATE
ADMINISTRATIVE OFFICE OF THE COURTS

OXCI Pilot Test Plan

June 15, 2004



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I. OVERVIEW

I. OVERVIEW

The state courts of Washington and Georgia are leading the Open XML Court Interface (OXCI) consortium of state courts in the development of an open source court electronic filing application. This middleware application is to be an open source implementation of an Electronic Filing Manager (EFM), conforming to the Organization for the Advancement of Structured Information Standards (OASIS) LegalXML Court Filing standards. This document details the project pilot test plan, including the design of pilot test environments and a work plan and schedule for testing and reporting.

A. OBJECTIVES

The goal of the pilot tests is to provide verification and validation that the OXCI EFM application can be implemented successfully in real-world environments. The key objectives of these pilot tests are to:

- Demonstrate the application of the OXCI EFM with various case types, including:
 - » Criminal.
 - » Civil.
 - » Family law.
 - » Appellate.
 - » Operating systems.
 - » Java 2 Enterprise Edition (J2EE) application servers.
 - » Relational database management systems.
- Demonstrate the application of the OXCI EFM with both filings that initiate cases and filings into existing cases.
- Demonstrate that the OXCI EFM can be integrated with production court Case Management Systems (CMSs) and Document Management Systems (DMSs).
- Simulate the integration of the OXCI EFM with electronic filing service providers (EFSPs).

B. PARTICIPANTS

The following courts have agreed to participate in the OXCI project as pilot test sites. The business and technical contacts for each court are provided in the table.

Court	Location	Business Contact	Technical Contact
Georgia Supreme Court	Atlanta, Georgia	Vince Harris Georgia AOC 404-656-5171 <i>harrisv@gaaoc.us</i>	Rex McElrath Georgia AOC 404-657-9218 <i>mcelratr@gaaoc.us</i>
Washington County Superior Court	Sandersville, Georgia	Vince Harris Georgia AOC 404-656-5171 <i>harrisv@gaaoc.us</i>	Rex McElrath Georgia AOC 404-657-9218 <i>mcelratr@gaaoc.us</i>
Chelan County Superior Court	Wenatchee, Washington	Siri Woods Chelan County Clerk 509-667-6380 <i>siri.a.woods@co.chelan.wa.us</i>	Dan Jordan Chelan County 509-667-6609 <i>dan.jordan@co.chelan.wa.us</i>
Nebraska Courts	Lincoln, Nebraska	Ron Bowmaster Nebraska AOC 402-471-3031 <i>rbowmast@notes.state.ne.us</i>	Khaleel Thotti Nebraska AOC 402-471-7081 <i>kthotti@notes.state.ne.us</i>

C. DOCUMENT ORGANIZATION

This document is the pilot test plan for the OXCI EFM implementation project. The remainder of the document is organized as follows:

- Section II describes the testing environment for each of the courts participating as pilot sites.
- Section III outlines the work plan and schedule for the pilot test.

II. DESIGN

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This section discusses the design and implementation of the OXCI EFM at each of the pilot test sites. It is organized under the following subsections:

- EFM Architecture
- Pilot Test Environments
- Georgia Supreme Court Test Environment
- Washington County (Georgia) Superior Court Test Environment
- Chelan County (Washington) Superior Court Test Environment
- Nebraska Courts Test Environment

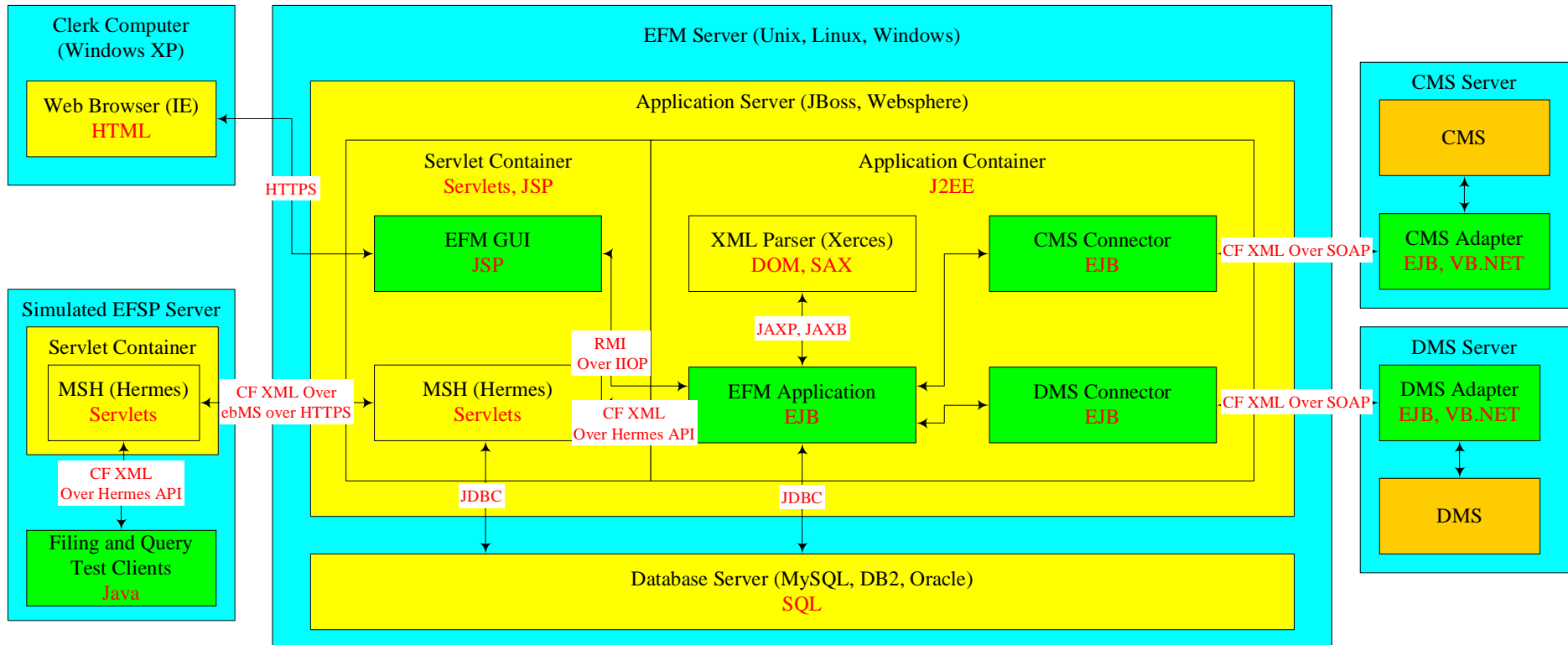
A. EFM ARCHITECTURE

The OXCI EFM Architecture document describes the system architecture of the OXCI EFM, including a recommended deployment model. EXHIBIT I illustrates an implementation of the system architecture in an ideal pilot test environment which includes the following components:

- *EFM Server*, which hosts the EFM application, clerk review interface, ebXML messaging service, and CMS/DMS connectors.
- *CMS Server*, which hosts a case management system to receive filings and respond to queries for case information. In the ideal case, the CMS adapter resides on the same system as the CMS.
- *DMS Server*, which hosts a document management system to receive filings and respond to queries for documents. In the ideal case, the DMS adapter resides on the same system as the DMS.
- *Clerk Computer*, which hosts the Web client to access the clerk review and administration interfaces.
- *Simulated EFSP Server*, which provides a testing interface to transmit filings to the EFM, receive confirmations, submit queries, and receive responses.

WASHINGTON STATE ADMINISTRATIVE OFFICE OF THE COURTS
OXCI PILOT TEST PLAN

IDEAL PILOT SITE DEPLOYMENT VIEW



B. PILOT TEST ENVIRONMENTS

The objectives of the OXCI pilot tests include testing with multiple platforms, back-end systems, and case types. The table below summarizes the differences in the testing environments for each pilot site.

	Georgia Supreme Court	Washington County Superior Court	Chelan County Superior Court	Nebraska Courts
Case Type	Appellate	Criminal, Child Support Enforcement	Civil, Family	Criminal, Child Support Enforcement
OXCI Interfaces	Filing	Filing, Query/Response	Filing	Filing, Query/Response
CMS/Platform	Custom/Mainframe	Sustain/Windows	Custom/Mainframe	Custom/Mainframe
DMS/Platform	None	Sustain/Windows	Liberty/Windows	Custom/Mainframe
EFM Platform	Microsoft Windows 2003	Microsoft Windows 2003	Linux	IBM AS/400
J2EE Application Server	JBoss	JBoss	JBoss	IBM Websphere
Database Server	Oracle	Oracle	MySQL	DB2/400

The simulated EFSP server will be hosted by counterclaim Inc., and shared by all the pilot sites. It will consist of a Linux system running the Hermes ebXML Message Service Handler (MSH) and scripts developed by counterclaim for simulating filing and query/response by an EFSP.

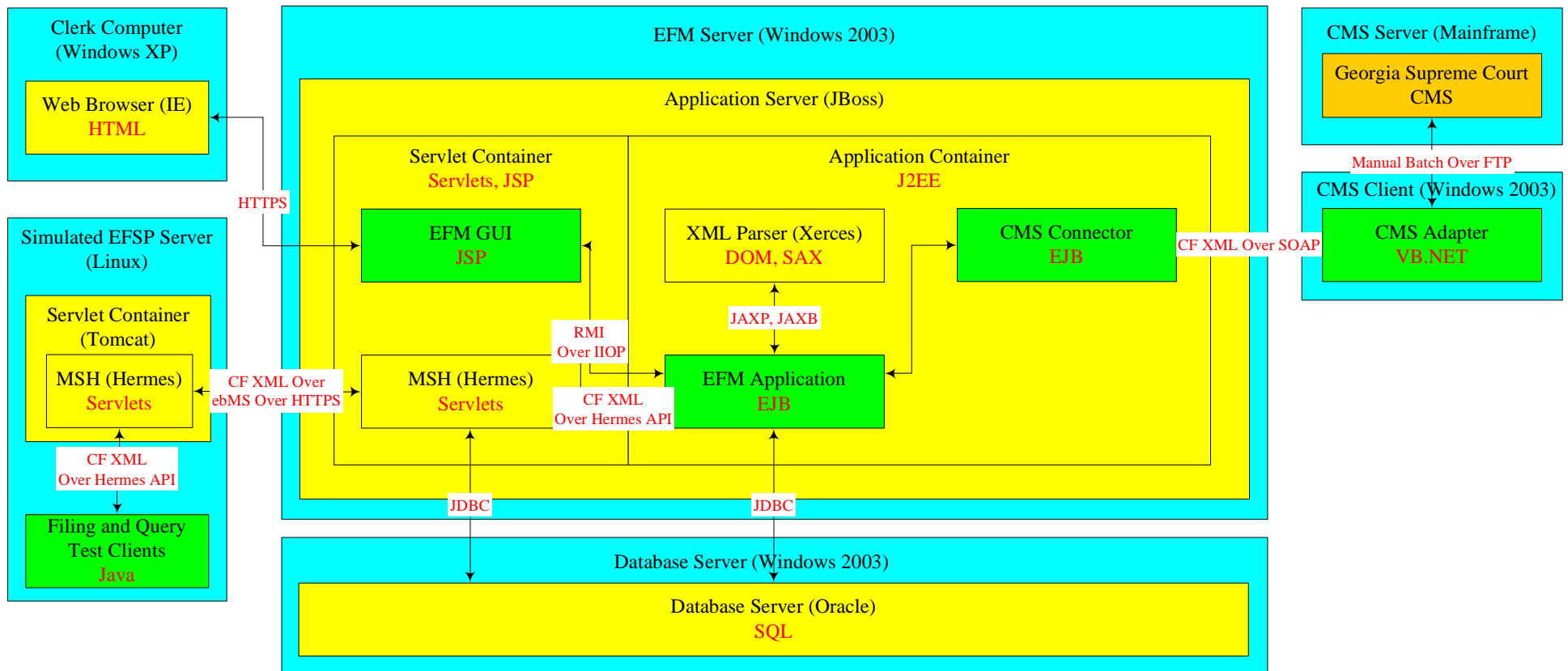
The rest of this section describes the testing environments for each of the pilot sites in more detail.

C. GEORGIA SUPREME COURT TEST ENVIRONMENT

EXHIBIT II illustrates the Georgia Supreme Court pilot test environment in Atlanta, Georgia. The Supreme Court information systems include a custom, mainframe-based CMS and do not currently include a DMS. The Supreme Court systems are supported operationally by the Georgia Administrative Office of the Courts (AOC). Since the Supreme Court systems do not currently include a J2EE application server, the AOC will deploy the OXCI EFM on a JBoss application server on a Windows 2003 server. The Hermes ebXML MSH and the EFM databases will be deployed on an Oracle database server running on a Windows 2003 server.

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OXCI PILOT TEST PLAN

GEORGIA SUPREME COURT PILOT DEPLOYMENT VIEW



The Supreme Court CMS does not support an interface for receiving case information electronically. Therefore, the AOC will develop and implement a VB.NET-based adapter on a Windows system and receive the filings from the EFM through a Simple Object Access Protocol (SOAP) -based Web service and support manual batch upload of the filings to the mainframe via File Transfer Protocol (FTP). This interface will not support queries.

D. WASHINGTON COUNTY (GEORGIA) SUPERIOR COURT TEST ENVIRONMENT

EXHIBIT III illustrates the Washington County Superior Court pilot test environment in Sandersville, Georgia. The Washington County Superior Court information systems include Sustain, a commercial court CMS and DMS. The electronic filing interface to Sustain will be supported operationally by the Georgia AOC during the pilot test. Since the Washington County court systems do not currently include a J2EE application server, the AOC will deploy the OXCI EFM on a JBoss application server on a Windows 2003 server. The Hermes ebXML MSH and the EFM databases will be deployed on an Oracle database server running on a Windows 2003 server.

The Sustain CMS/DMS supports a proprietary application program interface (API) for submitting case information and documents and performing queries against the system. The AOC will develop a VB.NET adapter on a Windows system that receives filings and queries from the EFM through a SOAP-based Web service, processes the filings and queries through the Sustain API, and returns the filing confirmations and query responses to the EFM through the Web service.

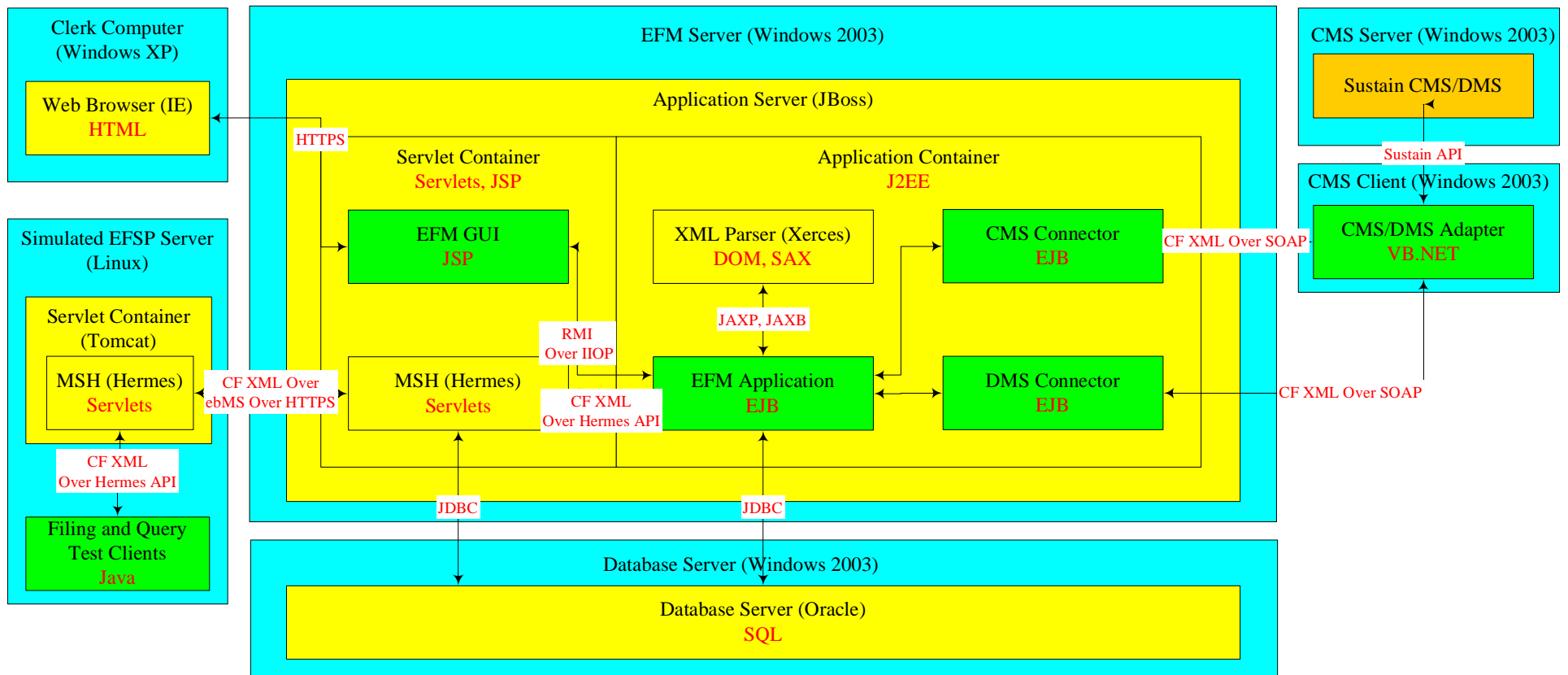
E. CHELAN COUNTY (WASHINGTON) SUPERIOR COURT TEST ENVIRONMENT

EXHIBIT IV illustrates the Chelan County Superior Court pilot test environment in Wenatchee, Washington. The Chelan County Superior Court information systems include the mainframe-based Superior Court Management Information System (SCOMIS), a statewide Case Management System hosted by the Washington AOC, and the Liberty Document Management System, supported by Eagle Information Systems (Wenatchee, Washington). Since the Chelan County court systems do not currently include a J2EE application server, the Chelan Superior Court will deploy the OXCI EFM on a JBoss application server on a Linux server. The Hermes ebXML MSH and the EFM databases will be deployed on a MySQL database server running on the Linux server.

SCOMIS does not support an interface for receiving case information electronically. Therefore, E-Filing.com will develop and implement a VB.NET-based adapter on a Windows system that receives the filings from the EFM through a SOAP-based Web service and semiautomatically pastes the information into SCOMIS through a terminal interface. This interface will not support queries.

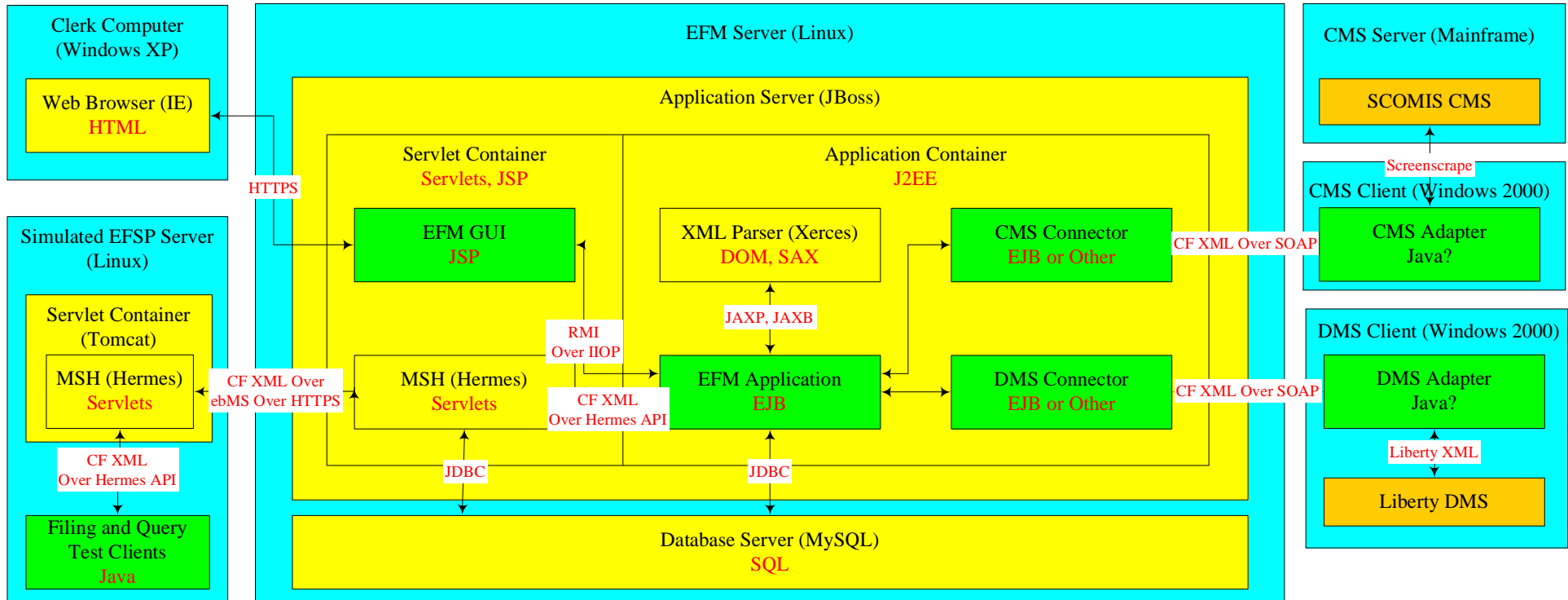
WASHINGTON STATE ADMINISTRATIVE OFFICE OF THE COURTS
OXCI PILOT TEST PLAN

WASHINGTON COUNTY (GEORGIA) SUPERIOR COURT PILOT DEPLOYMENT VIEW



WASHINGTON STATE ADMINISTRATIVE OFFICE OF THE COURTS
OXCI PILOT TEST PLAN

CHELAN COUNTY (WASHINGTON) SUPERIOR COURT PILOT DEPLOYMENT VIEW



The Liberty DMS supports a custom XML interface for uploading documents. counterclaim will develop and implement a VB.NET-based adapter on a Windows system that receives the filings and from the EFM through a SOAP-based Web service and uploads the filings to Liberty. This interface will not support queries.

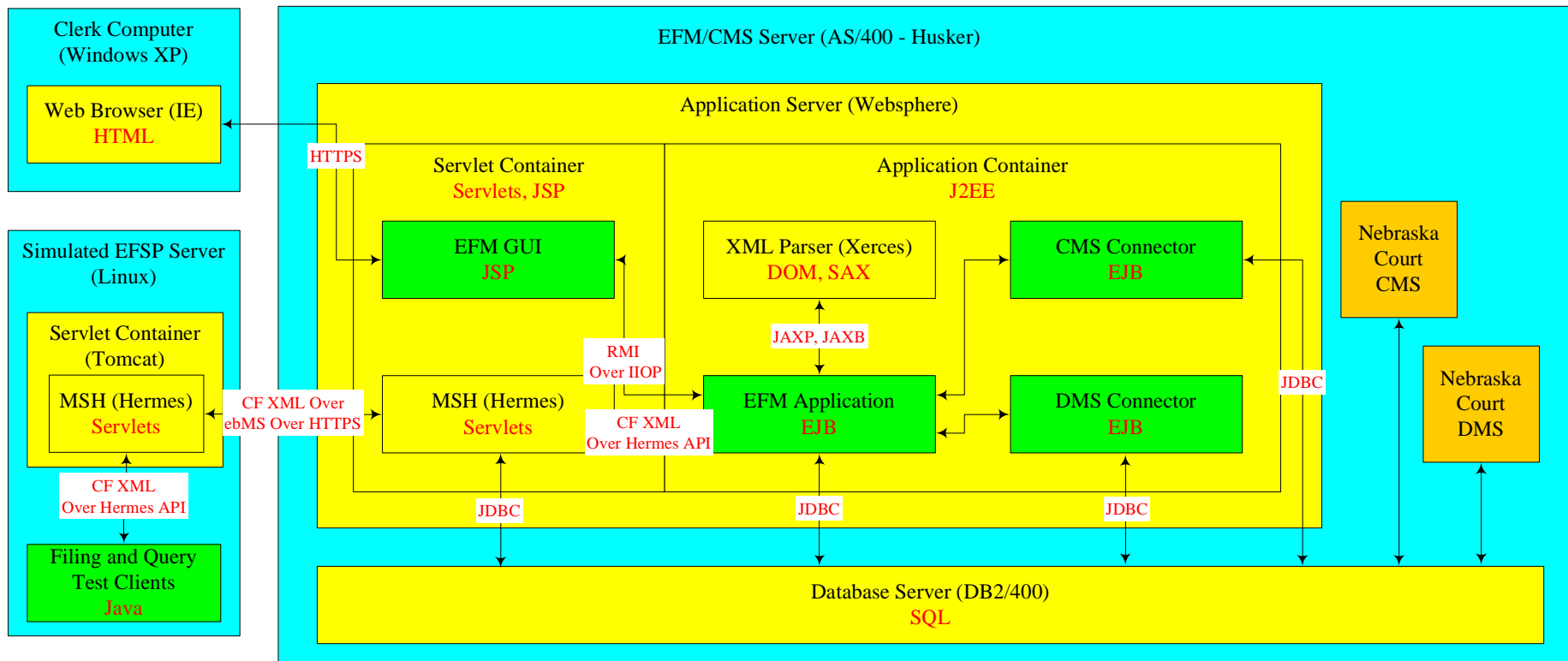
F. NEBRASKA COURTS TEST ENVIRONMENT

EXHIBIT V illustrates the Husker pilot test environment in Lincoln, Nebraska. The Husker test environment includes a mainframe-based statewide CMS and DMS, hosted by the Nebraska AOC. The OXCI EFM will be deployed using an existing IBM Websphere application server on an AS/400. The Hermes ebXML MSH and the EFM databases will be deployed on a DB2/400 database server running on the same AS/400.

The CMS and DMS are based on DB2/400 databases and reside on the same AS/400 as the EFM. The Nebraska AOC will adapt the CMS and DMS connectors provided in the OXCI EFM distribution to process filings and queries directly against the CMS and DMS databases through Java DataBase Connectivity (JDBC).

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OXCI PILOT TEST PLAN

NEBRASKA COURTS PILOT DEPLOYMENT VIEW



III. WORK PLAN

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The work plan for the OXCI EFM pilot test is included as EXHIBIT VI. It encompasses the following three components:

- Preparation
- Testing
- Reporting

Each of the project components is described below. The final subsection summarizes the overall schedule.

A. PREPARATION

In the Preparation component, MTG Management Consultants, L.L.C., and counterclaim will work with the pilot sites and the adapter developers in implementing the OXCI EFM at each site and interfacing the EFM with each CMS and DMS. This component includes the following tasks:

- Develop Local Court Policies
- Develop Core Application and Test Interfaces
- Install Testing Environments
- Develop CMS/DMS Adapter Interfaces

1. Develop Local Court Policies

The OXCI EFM XML Interface Specifications include specifications for describing various rules of court and court-specific elements in XML. In this task, we will:

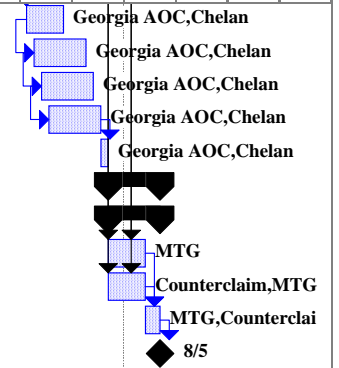
- Collect actual filings for use in testing.
- Develop local Court Policy XML.

SCHEDULE

ID	WBS	COMPONENT/Work Package/Task/Deliverable	Duration	Start	Finish	June					July				August					
						5/23	5/30	6/6	6/13	6/20	6/27	7/4	7/11	7/18	7/25	8/1	8/8	8/15	8/22	
1	1	PREPARATION	34 days	Tue 6/1/04	Fri 7/16/04															
2	1-1	Develop Local Court Policies	6 days	Fri 6/11/04	Fri 6/18/04															
3	1-1.1	Collect actual filings for use in testing.	4 days	Fri 6/11/04	Wed 6/16/04															
4	1-1.2	Develop local court policy XML.	2 days	Thu 6/17/04	Fri 6/18/04															
5	1-2	Develop Core Application and Test Interfaces	24 days	Tue 6/1/04	Fri 7/2/04															
6	1-2.1	Finalize CMS/DMS adapter WSDL.	0 days	Tue 6/1/04	Tue 6/1/04															
7	1-2.2	Develop Iteration 3 code and documentation.	4 days	Tue 6/15/04	Fri 6/18/04															
8	1-2.3	Develop adapter filing and query testing interface.	3 days	Mon 6/21/04	Wed 6/23/04															
9	1-2.4	Install simulated EFSP server and ebXML MSH.	3 days	Thu 6/17/04	Mon 6/21/04															
10	1-2.5	Develop EFSP-EFM filing and query testing interface.	3 days	Tue 6/22/04	Thu 6/24/04															
11	1-2.6	Address reported defects.	10 days	Mon 6/21/04	Fri 7/2/04															
12	1-3	Install Testing Environments	12 days	Thu 6/24/04	Fri 7/9/04															
13	1-3.1	Install Georgia Supreme Court EFM and adapter servers.	3 days	Thu 6/24/04	Mon 6/28/04															
14	1-3.2	Install Washington County Court EFM and adapter servers.	3 days	Thu 6/24/04	Mon 6/28/04															
15	1-3.3	Install Chelan County Court EFM and adapter servers.	3 days	Thu 6/24/04	Mon 6/28/04															
16	1-3.4	Install Nebraska Court EFM servers.	3 days	Thu 6/24/04	Mon 6/28/04															
17	1-3.5	Install Georgia ebXML MSHs and test connections with EFSP server.	3 days	Fri 6/25/04	Tue 6/29/04															
18	1-3.6	Install Chelan County ebXML MSH and test connection with EFSP server.	3 days	Fri 6/25/04	Tue 6/29/04															
19	1-3.7	Install Nebraska ebXML MSH and test connection with EFSP server.	3 days	Fri 6/25/04	Tue 6/29/04															
20	1-3.8	Update EFM servers with final code.	5 days	Mon 7/5/04	Fri 7/9/04															
21	1-4	Develop CMS/DMS Adapter Interfaces	17 days	Thu 6/24/04	Fri 7/16/04															
22	1-4.1	Develop Windows adapter template.	2 days	Thu 6/24/04	Fri 6/25/04															
23	1-4.2	Develop and test Washington County Court CMS and DMS adapters.	10 days	Mon 6/28/04	Fri 7/9/04															
24	1-4.3	Develop and test Georgia Supreme Court CMS adapter.	15 days	Mon 6/28/04	Fri 7/16/04															
25	1-4.4	Develop and test Chelan County Court CMS (SCOMIS) adapter.	15 days	Mon 6/28/04	Fri 7/16/04															
26	1-4.5	Develop and test Chelan County Court DMS (Liberty) adapter.	15 days	Mon 6/28/04	Fri 7/16/04															
27	1-4.6	Develop and test Nebraska Court CMS and DMS adapters.	10 days	Thu 6/24/04	Wed 7/7/04															
28	2	TESTING	14 days	Mon 7/12/04	Thu 7/29/04															
29	2-1	Conduct Criminal and Child Support Enforcement Pilot Tests	9 days	Mon 7/12/04	Thu 7/22/04															
30	2-1.1	File test filings.	5 days	Mon 7/12/04	Fri 7/16/04															
31	2-1.2	Review filings by clerk.	5 days	Tue 7/13/04	Mon 7/19/04															
32	2-1.3	Verify that CMSs and DMSs receive filings and filers receive confirmations.	5 days	Wed 7/14/04	Tue 7/20/04															
33	2-1.4	Query filing information and verify responses.	5 days	Thu 7/15/04	Wed 7/21/04															
34	2-1.5	Clean up any partial or duplicate filings in each CMS and DMS.	1 day	Thu 7/22/04	Thu 7/22/04															
35	2-2	Conduct Civil and Appellate Pilot Tests	9 days	Mon 7/19/04	Thu 7/29/04															

SCHEDULE

ID	WBS	COMPONENT/Work Package/Task/Deliverable	Duration	Start	Finish	June					July				August										
						5/23	5/30	6/6	6/13	6/20	6/27	7/4	7/11	7/18	7/25	8/1	8/8	8/15	8/22						
36	2-2.1	File test filings.	5 days	Mon 7/19/04	Fri 7/23/04																				
37	2-2.2	Review filings by clerk.	5 days	Tue 7/20/04	Mon 7/26/04																				
38	2-2.3	Verify that CMSs and DMSs receive filings and filers receive confirmations.	5 days	Wed 7/21/04	Tue 7/27/04																				
39	2-2.4	Query filing information and verify responses.	5 days	Thu 7/22/04	Wed 7/28/04																				
40	2-2.5	Clean up any partial or duplicate filings in each CMS and DMS.	1 day	Thu 7/29/04	Thu 7/29/04																				
41	3	REPORTING	5 days	Fri 7/30/04	Thu 8/5/04																				
42	3-1	Report Findings	5 days	Fri 7/30/04	Thu 8/5/04																				
43	3-1.1	Obtain feedback from pilot sites.	3 days	Fri 7/30/04	Tue 8/3/04																				
44	3-1.2	Identify any technical issues.	3 days	Fri 7/30/04	Tue 8/3/04																				
45	3-1.3	Prepare Pilot Test Report.	2 days	Wed 8/4/04	Thu 8/5/04																				
46	3-2	<i>Deliverable: Pilot Test Report</i>	0 days	Thu 8/5/04	Thu 8/5/04																				



2. Develop Core Application and Test Interfaces

Once counterclaim finalizes the CMS/DMS Web Services Description Language (WSDL) and releases development Iteration 3 of the OXCI EFM code and documentation, it will develop test scripts for testing the CMS/DMS adapters from the EFM and testing EFM from a simulated EFSP server. It will also address any defects identified in quality assurance testing or by the pilot sites. In this task, counterclaim will:

- Finalize CMS/DMS adapter WSDL.
- Develop Iteration 3 code and documentation.
- Develop adapter filing and query testing interface.
- Install simulated EFSP server and ebXML MSH.
- Develop EFSP-EFM filing and query testing interface.
- Address reported defects.

3. Install Testing Environments

Each pilot site will be responsible for installing a testing environment including an EFM, CMS/DMS adapters, and an ebXML MSH. In this step, the pilot sites will test connectivity with the simulated EFSP server. In this task, the pilot sites will:

- Install Georgia Supreme Court EFM and adapter servers.
- Install Washington County Court EFM and adapter servers.
- Install Chelan County Court EFM and adapter servers.
- Install Nebraska EFM servers.
- Install Georgia ebXML MSHs and test connections with EFSP server.
- Install Chelan County ebXML MSH and test connection with EFSP server.
- Install Nebraska ebXML MSH and test connection with EFSP server.
- Update EFM servers with final code.

4. Develop CMS/DMS Adapter Interfaces

Each pilot site is responsible for developing the adapters that connect the EFM to its CMS and DMS. In many cases, the pilot sites have contracted developers specifically for this. To assure consistency

across the adapters hosted on Windows systems, the Georgia AOC developer will provide an adapter template for use with the Georgia Supreme Court, Washington County, and Chelan County adapters. In this task, the pilot sites or their contract developers will:

- Develop Windows adapter template.
- Develop and test Washington County Court CMS and DMS adapters.
- Develop and test Georgia Supreme Court CMS adapter.
- Develop and test Chelan County Court CMS (SCOMIS) adapter.
- Develop and test Chelan County Court DMS (Liberty) adapter.
- Develop and test Nebraska Courts CMS and DMS adapters.

B. TESTING

In the Testing component, the pilot sites will perform test filings and queries and verify the responses. This component includes the following tasks:

- Conduct Criminal and Child Support Enforcement Pilot Tests
- Conduct Civil and Appellate Pilot Tests

1. Conduct Criminal and Child Support Enforcement Pilot Tests

Two sites, the Washington County Court and the Nebraska Courts, will test criminal and child support enforcement filings. In this task, the courts will:

- File test filings, including both case-initiating filings and filings into existing cases.
- Review filings by clerk.
- Verify that CMSs and DMSs receive filings and filers receive confirmations.
- Query filing information and verify responses.
- Clean up any partial or duplicate filings in each CMS and DMS.

2. Conduct Civil and Appellate Pilot Tests

The Georgia Supreme Court will test appellate filings. The Chelan County Court will test civil and family law filings. In this task, the courts will:

- File test filings.
- Review filings by clerk.
- Verify that CMSs and DMSs receive filings and filers receive confirmations.
- Query filing information and verify responses.
- Clean up any partial or duplicate filings in each CMS and DMS.

C. REPORTING

The Pilot Test Report deliverable will summarize the findings from all parties participating in the pilot tests, including the developers and the courts. The key objective of this deliverable will be the documentation of lessons learned for future court filing implementations.

1. Report Findings

In this task, MTG and counterclaim will:

- Obtain feedback from pilot sites.
- Identify any technical issues.
- Prepare Pilot Test Report.

This effort will result in the Pilot Test Report.

D. SCHEDULE

The table below summarizes the estimated start and end dates of each component in the pilot test plan:

Component	Start Date	End Date
Preparation	6/1/04	7/16/04
Testing	7/12/04	7/29/04
Reporting	7/30/04	8/5/04