WASHINGTON STATE ADMINISTRATIVE OFFICE OF THE COURTS

OXCI Electronic Filing Manager Implementation Project
Project Work Plan

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I.   <u>INTRODUCTION</u>

I.   INTRODUCTION

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 work plan, including the schedule, resources, and deliverables.

A.   BACKGROUND

As the repositories of legal documents, courts are universally challenged with managing ever-increasing amounts of paper. Although electronic filing is widely viewed as a critical part of a solution to the courts' document management problems, very few courts have the financial and technical resources to develop electronic filing systems on their own. To that end, a number of state courts together have founded the OXCI consortium in order to collaboratively produce an EFM middleware application. The OXCI EFM is intended for use by both courts and vendors as a common framework for their electronic filing implementations.

The OXCI consortium of state courts intends to produce a middleware implementation for electronic filing for use within all levels of state courts for the receipt, transmission, and validation of electronic filings, court orders, and associated data. The middleware will provide a uniform open source implementation of an EFM, extending the LegalXML Electronic Court Filing Technical Committee standards of OASIS. It is intended that this middleware will be made available nationally to courts and other vendors as the bridge between an electronic filing front-end application (provided by the court, a vendor, or a service provider) and the court's case management system (CMS) and document management system (DMS).

B.   SCOPE

The scope of this work plan includes tasks and deliverables in each of the following categories:

- *Project Management* – These tasks and deliverables define the objective, scope, roles and responsibilities, work plan, project management controls, and status reporting for the project.

- *Architecture* – These tasks and deliverables refine the OXCI EFM architecture and the XML schemas for the court filing exchanges supported by the OXCI architecture.

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■ *Development* – These tasks and deliverables detail the implementation design that supports the architecture as well as the actual code and technical documentation produced in each development iteration.

■ *Testing* – These tasks and deliverables define the testing plans and reports for each development iteration, the pilot test, and a postimplementation report.

■ *Documentation* – These tasks and deliverables cover training plans and materials and the final Help documentation and user manuals.

C. DOCUMENT ORGANIZATION

This document is the detailed project work plan and the second of the project management deliverables for the OXCI EFM implementation project. The remainder of the document is organized as follows:

■ Section II details each phase of the project work plan and summarizes the project schedule.

■ Section III outlines the project organization, including roles and responsibilities.

II. PROJECT WORK PLAN

II.   PROJECT WORK PLAN

The work plan for the OXCI EFM implementation project is included as EXHIBIT I. The work plan involves the following five components:

- Initiation

- Planning

- Execution

- Ongoing Project Management

- Closure

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

A.   INITIATION

In the Initiation component, MTG Management Consultants, L.L.C., will develop a Project Charter to define the objectives of the project and identify the stakeholders and their respective roles. Specifically, we will:

- Develop project definition.

- Identify team roles.

- Obtain approval of Project Charter.

These efforts will result in the Project Charter deliverable.

B.   PLANNING

In the Planning component, MTG will establish a project management structure. This process will involve reviewing and approving the project plan provided by Counterclaim and establishing a set of project tools, methods, and plans for managing the project. This component will include the following tasks:

■   Develop project work plan.

»   Customize tasks.

»   Develop supporting resource plan.

»   Negotiate resources.

»   Load approved resources into customized tasks.

»   Administrative Office of the Courts (AOC) management review.

»   Revise detailed work plan.

■   Develop Project Management Plan.

»   Draft project controls plan.

»   Identify collaboration tools.

»   Draft communications plan.

»   Draft quality assurance plan.

»   Draft change management and control process.

»   Draft contract control process.

»   Document risks.

»   Develop project risk matrix.

»   AOC management review.

»   Revise Project Management Plan.

These efforts will result in two deliverables:

■   Detailed Work Plan.

■   Project Management Plan.

C.   EXECUTION

The Execution component will include the application development and testing process. Because the standards in electronic court filing are not yet stable, MTG will work with Counterclaim in

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interpreting the requirements for OXCI, revising the proposed architecture, and creating or modifying XML schemas to satisfy the requirements. This component will involve the following steps:

■   Revise architecture.

»   Revise requirements.

»   Revise components.

»   Revise use of technical standards.

»   AOC management review.

»   Update Architecture Specification.

■   Develop Software Requirements.

»   Conduct needs analysis.

»   Draft preliminary Software Requirements.

»   AOC management review.

»   Revise Software Requirements.

■   Develop design.

»   Review preliminary software specifications.

»   Develop functional specifications.

»   Develop prototype based on functional specifications.

»   AOC management review.

»   Revise Design Document.

■   Develop Test Plan.

»   Draft unit test plans using product specifications.

»   Draft integration test plans using product specifications.

»   AOC management review.

»   Revise Test Plan.

■   Develop XML Schemas.

»   Define approach to schema development.

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- » Identify reusable elements and types.

- » Define new elements and types.

- » Generate draft schemas.

- » AOC management review.

- » Review by standards bodies.

- » Update Schemas.

■ Develop Iterations (3).

- » Review functional specifications.

- » Identify modular/tiered design parameters.

- » Assign development staff.

- » Develop code.

- » Debug code (primary debugging).

- » Review modular code.

- » Perform unit testing.

- » Identify anomalies to product specifications.

- » Modify code.

- » Retest modified code.

- » Perform integration testing.

- » Identify anomalies to specifications.

- » Modify code.

- » Retest modified code.

■ Develop Training Materials and specifications.

- » Develop training specifications for end users.

- » Develop training specifications for Help Desk support staff.

- » Identify training delivery methodology (computer-based training, classroom, etc.).

- » Develop Training Materials.

- » Conduct training usability study.

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- » AOC management review.

- » Revise Training Materials.

- » Develop training delivery mechanism.

- ■ Develop documentation.

  - » Develop Help specifications.

  - » Deliver Help specifications working document.

  - » Develop Help system.

  - » Review Help Documentation.

  - » Incorporate Help Documentation feedback.

  - » Develop developer/user manuals specifications.

  - » Develop developer/user manuals.

  - » AOC management review.

  - » Revise documentation.

- ■ Develop Pilot Test Plan.

  - » Prepare pilot test strategy.

  - » Identify test scenarios, cases, and data.

  - » Prepare Pilot Test Plan.

  - » AOC management review.

  - » Update Pilot Test Plan.

- ■ Conduct pilot testing.

  - » Receive and install components.

  - » Configure components.

  - » Conduct initial configuration tests.

  - » Perform pilot testing.

  - » Obtain user feedback.

  - » Evaluate testing information.

  - » Prepare Pilot Test Report.

- Develop Deployment Plan.

    » Determine final deployment strategy.

    » Develop deployment methodology.

    » Train support staff.

These activities will result in the following deliverables:

- Revised Architecture Specification.

- Software Requirements.

- Design Document.

- Test Plan.

- XML Schemas.

- Iteration Code and Preliminary Documentation (3).

- Iteration Testing Reports (3).

- Training Plan.

- Training Materials.

- Help Documentation and User Manuals.

- Pilot Test Plan.

- Pilot Test Report.

- Deployment Plan.

The Revised Architecture Specification is an update of the OXCI EFM Architecture deliverable developed by MTG under a previous engagement. This update will reflect the developments, especially with regard to the Justice XML Data Dictionary 3.0 and LegalXML Court Filing standards, since the document was originally published. This document will also provide detailed additional architectural guidance as required by the development vendor.

The Software Requirements will include Counterclaim's preliminary software specifications based on the revised architecture.

In the Design Document, Counterclaim will develop the functional specifications and design a prototype based on the functional specifications for review by OXCI.

In the XML Schemas deliverable, MTG will propose new XML Schemas for electronic court filing based on the Justice XML Data Dictionary 3.0 specification and OXCI requirements. These schemas will be developed in collaboration with the LegalXML Electronic Court Filing Technical Committee.

In the Test Plan, Counterclaim will develop unit test and integration plans based on the product specifications.

The development phase of the project will be executed in three stages, each lasting approximately 1 month. Each development iteration will include coding, unit testing, integration testing, and refinement. In the Iteration Code and Preliminary Documentation and Testing Report deliverables, Counterclaim will provide the actual code, the testing results, and the preliminary technical documentation resulting from each iteration. The actual code to be developed in each iteration has not yet been determined.

In the Training Plan, Training Materials, Help Documentation, and User Manuals, Counterclaim will provide the documentation necessary to train the developers, support personnel, and users of the application.

The Pilot Test Plan will provide a detailed project work plan for the installation and configuration of the pilot test beds, testing with the EFM application, and documentation of the results. Counterclaim and the pilot courts will be responsible for conducting the tests according to the work plan.

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

In the Deployment Plan, Counterclaim and MTG will outline the final deployment strategy and methodology.

D.   ONGOING PROJECT MANAGEMENT

The Project Management component includes the periodic project management tasks necessary to ensure that the project remains on target, on schedule, and on budget. This component will involve the following steps:

- Manage tasks and issues and coordinate resources.

- Review code.

- Report status.

- Brief steering committee.

- Assess risk.

These efforts will result in a monthly Status Report deliverable.

E.   CLOSURE

In the Closure component, MTG will conclude the project with a postimplementation review to assess performance and document any lessons learned. Specifically, we will:

- Conduct postimplementation review.

    » Evaluate project budget and expenditures.

    » Record final work plan.

    » Prepare final resource utilization report.

    » Identify unfinished work.

    » Identify outstanding issues.

    » Document project lessons learned.

    » AOC management review.

    » Revise Postimplementation Review Report.

This effort will result in a Postimplementation Review Report deliverable.

F.   SCHEDULE

The project schedule starts on November 1, 2003 and has a 6- to 12-month duration.. However, the actual project finish date will depend on several factors including the efficiency of development, and

the speed of the standards development process. The project plan is intended to be flexible enough to accommodate these issues.

The table below summarizes the estimated delivery dates of the deliverables resulting from this project.

Deliverable	Estimated Due Date
Project Charter	Delivered: 11/24/03
Detailed Work Plan	Delivered: 12/8/03
Project Management Plan	Delivered: 12/22/03
Revised Architecture Specification	Delivered: 1/6/04
Software Requirements	Delivered: 1/26/04
Design Document	Delivered: 2/6/04
Test Plan	Delivered: 3/24/04
XML Schemas	Delivered: 2/17/04
Iteration 1 Code and Preliminary Documentation	Delivered: 3/24/04
Iteration 1 Testing Reports	Delivered: 3/24/04
Iteration 2 Code and Preliminary Documentation	4/23/04
Iteration 2 Testing Reports	4/23/04
Iteration 3 Code and Preliminary Documentation	5/21/04
Iteration 3 Testing Reports	5/21/04
Training Plan	7/2/04
Training Materials	7/2/04
Help Document and User Manuals	8/13/04
Pilot Test Plan	4/27/04
Pilot Test Report	7/12/04
Deployment Plan	7/16/04
Postimplementation Review Report	9/14/04
Monthly Status Reports	First of each month

III.   <u>PROJECT ORGANIZATION</u>

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The OXCI EFM implementation project is organized according to the following roles and responsibilities:

■   OXCI Steering Committee

The OXCI Steering Committee is the main oversight and decision-making body for OXCI. The Steering Committee includes executive-level representatives from the member courts and a liaison from the OASIS LegalXML Electronic Court Filing Technical Committee. The Steering Committee is responsible for accepting the final product.

■   OXCI Contract Manager (Mr. Vince Harris, Georgia AOC)

The OXCI Contract Manager is responsible for negotiating and overseeing the contract with the OXCI Development Vendor.

■   OXCI Architect (Mr. Tom Clarke, Washington AOC)

The OXCI Architect is responsible for setting the overall design direction and reviewing and approving all project deliverables including work plans, requirements, designs, test reports, and products.

■   OXCI Project Manager (Mr. James Cabral, MTG Management Consultants, L.L.C.)

The OXCI Project Manager is responsible for coordinating both the internal and external re-sources of the project and developing the project management and architecture deliverables. The OXCI Project Manager reports to the OXCI Architect.

■   OXCI Developer (Mr. Shogan Naidoo, Counterclaim)

The OXCI Developer is responsible for developing and testing the application. The OXCI Developer reports to the OXCI Project Manager.