

WASHINGTON STATE
ADMINISTRATIVE OFFICE OF THE COURTS

OXCI Project Management Plan

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I. OVERVIEW

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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 management plan, including the project organization and project controls.

A. PROJECT DESCRIPTION

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 (TC) 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. OBJECTIVES

The ultimate success of this project and the OXCI initiative depends on the completion of several high-level objectives. The key objectives of this project are:

- A standards-based framework for electronic court filing including an architecture and XML schemas.

- An implementation of an EFM including source code and documentation based on the framework.
- A pilot test and report of the EFM implementation in multiple courts involving multiple front-end filing service providers, case management systems and document management systems.

C. SCOPE

The scope of this project includes each of the following categories:

- *Project Management* – The schedule, tasks, and deliverables for the project are detailed in the Project Work Plan deliverable. The objectives, scope, roles and responsibilities, project management controls, and status reporting are described herein.
- *Architecture* – The architecture tasks and deliverables refine the OXCI EFM architecture and XML schemas for the court filing exchanges supported by the OXCI architecture.
- *Development* – The development 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* – The testing tasks and deliverables define the testing plans and reports for each development iteration, the pilot test, and a post-implementation report.
- *Documentation* – The documentation tasks and deliverables cover training plans and materials and the final help documentation and user manuals.

D. ASSUMPTIONS

In order to identify and estimate the required tasks and timing for the project, certain assumptions and premises need to be made. Based on the current knowledge today, the project assumptions are listed below. If an assumption is invalidated at a later date, the activities and estimates in the project plan should be adjusted accordingly. The project will be managed according to the following assumptions:

- The project has the full support of the OXCI Steering Committee and the participating state courts.

- The project has the full support of the LegalXML Member Section of OASIS.
- The OXCI EFM will be released as open source software.

E. RELATIONSHIP WITH OTHER PROJECTS

There are two other ongoing initiatives which directly relate to this project:

- *Justice XML* – The Department of Justice (DOJ) Office of Justice Programs (OJP) has sponsored the development of a comprehensive XML data dictionary for the exchange of justice information. The 3.0.0.3 prerelease of the Global Justice XML Data Model (GJXDM) is available and the 3.0 release is expected in January 2004. The XML schemas developed for OXCI in this project will be compatible with the 3.0 release of the GJXDM.
- *OASIS LegalXML Court Filing* – The OASIS LegalXML Electronic Court Filing TC develops XML structures for court filing. The Court Filing 1.1 specification, the latest version, defines a document type definition (DTD). The Court Filing TC is in the process of defining requirements for a new schema for court filing currently called Court Filing “Blue.” The OXCI schemas will be developed based on a subset of the requirements for Court Filing Blue and will be submitted to the Court Filing TC for review and consideration in the development of Blue.

The relationship of OXCI to other projects, including Justice XML, LegalXML Court Filing, and the xmlLegal and California Second Generation Electronic Filing Specification (2GEFS) standards is shown in EXHIBIT I.

II. ORGANIZATION

II. ORGANIZATION

This section describes the organizational structure for managing the OXCI EFM implementation project. The project management structure includes the following aspects:

- Governance
- Funding
- Roles and Responsibilities
- Stakeholders

A. GOVERNANCE

This project is a collaborative effort of multiple state courts and the governance structure reflects that approach. With the approval of the OXCI Steering Committee, the Georgia Administrative Office of the Courts (AOC) has volunteered to manage the development contract with Counterclaim. All decisions that impact the budget and all legal issues, including licensing and intellectual property decisions, will be made by the Georgia AOC.

Similarly, the Washington AOC has volunteered to provide project management and architectural oversight and has contracted with MTG Management Consultants, L.L.C., to provide these services. All architectural decisions will be made or approved by the Washington AOC.

B. FUNDING

The Georgia AOC controls the development budget allocated to the project by the OXCI consortium. The budget is intended to be spent over 6 to 12 months, beginning in December 2003.

C. ROLES AND RESPONSIBILITIES

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 and this project. The steering committee includes executive-level representatives from the member courts and a liaison from the OASIS LegalXML Electronic Court Filing TC. 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. The OXCI contract manager reports to the OXCI Steering Committee.

- 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. The OXCI architect reports to the OXCI contract manager.

- OXCI Project Manager (Mr. James E. Cabral Jr., MTG Management Consultants, L.L.C.)

The OXCI project manager is responsible for coordinating both the internal and external resources 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.

D. STAKEHOLDERS

The following organizations have an interest in the OXCI EFM and are therefore included in the project as stakeholders:

- OXCI Consortium

The state courts that are members of the OXCI consortium support this project voluntarily through their membership dues. Some of these courts intend to develop their own court filing implementations based on the OXCI EFM. Others expect that the release of the OXCI EFM will spur a wider market of commercially supported, standards-compliant court filing products and services.

- Other Courts

Other state, local, and federal courts are monitoring the OXCI project. Many of these courts may eventually deploy custom-developed or commercially supported court filing solutions based on the OXCI EFM.

- Justice Partners

Many justice partners, both criminal and civil, are interested in automating their information exchanges with the courts, and OXCI provides a framework for implementing these exchanges.

- Court Filing Application Vendors and Service Providers

Vendors with existing court filing applications are monitoring the OXCI project with great interest. Some vendors will perceive OXCI as an open source threat to their proprietary solutions and choose not to participate. Other vendors will choose to participate after recognizing the potential OXCI has for advancing the standards necessary to develop the market and prompt wider implementation of electronic court filing.

- OASIS LegalXML

The LegalXML Member Section of OASIS is chartered with developing standards for the electronic exchange of legal documents. The LegalXML Court Filing TC supports the efforts for OXCI as complementary to the development of the next version of the Court Filing specifications known as Blue. The Court Filing TC will provide an external review of the OXCI XML schemas.

- Conference of State Court Administrators/National Association for Court Management_Joint Technology Committee

The Conference of State Court Administrators (COSCA) and National Association for Court Management (NACM) share a Joint Technology Committee (JTC) for recommending and approving technology for courts. The JTC recommended the LegalXML Court Filing 1.1 specification and will review the OXCI and Court Filing Blue specifications.

- Public

The public, including both customers of the courts and general taxpayers, have an interest in improved efficiency and accuracy of court systems. OXCI supports these goals through the promotion of court filing standards and wider adoption of electronic court filing solutions.

III. PROJECT CONTROLS

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This section describes the project controls employed to manage the OXCI EFM implementation project. The project controls ensure that the project remains on schedule, on target, in scope and in touch with the stakeholders. The controls include the following:

- Project Work Plan
- Status Reporting
- Issue Tracking
- Change Management
- Contract Management
- Communications
- Quality Assurance
- Risk Management

A. PROJECT WORK PLAN

The project work plan includes the following phases, components, and their scheduled start and end dates:

Phase	Component	Schedule
Initiation	Project Charter	November through December 2003
Planning	Project Management	December 2003
Execution	Architecture and Design	December 2003 through February 2004
	Development and Testing	February through April 2004
	Pilot Testing	April through June 2004
Closure	Documentation	July through August 2004

The schedule, tasks, and deliverables for the project are detailed in the Project Work Plan deliverable.

B. STATUS REPORTING

The status report documents the results and planned activities for the project. This high-level summary provides the leadership team with a view of project activities. Status reports will be produced monthly by the OXCI project manager and distributed to the OXCI architect and OXCI contract manager. The frequency of the report may be adjusted based on project risk. The status report will contain the following elements:

- *Significant Accomplishments This Period* – The accomplishments that the project achieved during this period.
- *Significant Accomplishments Next Period* – The planned accomplishments that the project will achieve during the upcoming period.
- *Milestone Status* – The performance of the project against the work plan and scheduled deliverables.

A status report template is provided in the Project Management Templates section.

C. ISSUE TRACKING

Issues are problems or unresolved questions that affect the schedule, scope, or budget of the project. Any stakeholder can identify an issue. Project issues are tracked in a log and posted to the project Web site.

1. Roles and Responsibilities

The OXCI project manager tracks and resolves project-level issues. Issues are updated and reviewed during the weekly status meetings with the OXCI developer and pilot courts. Any issues that require assistance from other stakeholders are escalated to the OXCI architect and OXCI contract manager.

The issue log template is described in the Project Management Templates section.

2. Issue Process

The process for adding and resolving a project issue includes the following steps:

- An issue is identified and documented in the project issue log by the OXCI project manager.
- An issue owner is assigned. The issue owner identifies the importance of the issue, the strategy to resolve the issue, the status of the issue, and the due date.
- Issues are reviewed during weekly status meetings with the OXCI developer and pilot courts. The OXCI project manager is responsible for ensuring that issues are resolved. Issues that cannot be resolved by the project team are escalated to the next level for direction and assistance.
- Closed issues are retained for historical purposes.

D. CHANGE MANAGEMENT

Change management refers to organizational structure and processes which enable the project to adapt to a dynamic internal and external environment in a controlled manner. As the project requirements fluctuate over time, change management ensures that the impact to scope, schedule, and budget is communicated and approved.

1. Roles and Responsibilities

The OXCI project manager is responsible for managing the project objectives, scope, and work plan on a day-to-day basis. All change requests must be submitted to the project manager who will either approve the request or seek executive approval from the OXCI architect and OXCI contract manager.

2. Change Management Process

The process for making changes to the project objectives, scope, or work plan includes the following steps:

- The OXCI project manager documents the change and the reason for the change. Changes may be initiated internally or externally to the project.
- The project manager determines the effect of the change, particularly on the project scope, schedule, or budget.
- The project manager decides whether to approve the change.

- If the change impacts the budget or significantly changes the scope or schedule, the project manager will get approval for the change from the OXCI architect and OXCI contract manager.
- If the change is approved, the project manager adjusts the work plan.

A change request log is included in the Project Management Templates section.

E. CONTRACT MANAGEMENT

The purpose of contract management is to select qualified contractors and manage them effectively. When contracting, a documented agreement covering the technical and nontechnical (e.g., delivery dates) requirements is established and used as the basis for managing the contract. The work to be done by the contractor and the plans for the work are documented.

1. Roles and Responsibilities

The software development oversight activities for the contracted work are performed by the OXCI contract manager. The OXCI contract manager, with the assistance of the OXCI project manager, ensures that these planning, tracking, and oversight activities are performed appropriately and that the software products delivered by the OXCI developer satisfy the acceptance criteria.

The OXCI project manager should periodically review contracts as part of the periodic project reviews and when key project milestones are reached that are related to the contract. The OXCI project manager should keep the following documentation to support contract management activities:

- All contract documents, addenda, and related documents.
- All correspondence received from and sent to the contractor.
- All contractor invoices and related payment advices.
- Project work plans (baseline and subsequent versions).
- Final deliverables provided by the contractor and accepted by the OXCI project manager, architect, and contract manager.

If the contract requires litigation, this information must be readily available to support the position of the Georgia AOC as the manager of the development contract.

2. Deliverable Review and Approval Process

The process for review and approval of the deliverables includes the following steps:

- Contract deliverables are transmitted to the OXCI project manager. Deliverables are reviewed and approved by the OXCI architect and OXCI contract manager prior to vendor payment authorization.
- Deliverables that do not meet the requirement or expectation of the OXCI project manager, OXCI architect, or OXCI contract manager are documented, discussed, and returned to Counterclaim for further work.
- The current status of each contract deliverable is documented on the project Web site and also reported in the MTG monthly status report.

3. Contract Change Management Process

The process for making changes to the contract includes the following steps:

- Changes or enhancements not identified within the contract must be submitted for approval by the OXCI contract manager.
- The OXCI contract manager may decide that the change requires approval by the OXCI Steering Committee if additional funding is required.
- If the change is approved, an official change request is provided to the OXCI developer.
- Changes are agreed upon in writing (description, schedule, and pricing) and are incorporated into an Amendment Agreement.
- The OXCI project manager incorporates the change into the project work plan.

F. COMMUNICATIONS

The communication plan identifies each of the key internal and external project communications in terms of the message, provider, audience, frequency, and method. Given the size and scope of the strategic planning and performance measurements effort, it is necessary to provide a structure and format for all information to ensure that the type of communication is properly managed.

1. Roles and Responsibilities

The OXCI project manager is responsible for coordinating with project participants, including the OXCI developer and pilot courts, and reporting the status and issues of the project back to the OXCI architect, OXCI contract manager, pilot courts, and LegalXML. The OXCI architect and OXCI contract manager report status and issues quarterly to the OXCI Steering Committee and the COSCA/NACM JTC.

2. Communication Mechanisms

The primary communication mechanism for the project will be the project Web site hosted by sourceforge.net. The Web site is publicly accessible and provides tools for managing the project source code, issues, and status. Sourceforge is available for free to development projects that adopt a licensing policy that satisfies the open source definition. Licensing issues are discussed in detail in the next subsection.

Other communications mechanisms include written status reports, status meetings, and presentations to stakeholders. EXHIBIT II summarizes the details of each communication mechanisms description including:

- *Communication Type* – Describes the various vehicles of communication that will be used during the strategic planning and performance measurements implementation. It includes executive meetings, road shows, performance measurement reports, status reports, implementation announcements, division meetings, presentation packets, meeting agendas and minutes, and project reviews.
- *Communication Message* – Explains the purpose of each communication type.
- *Responsible Party(ies)* – Denotes the party or parties responsible for providing the communication.
- *Frequency* – Indicates when and how the communication type will be delivered.
- *Target Audience* – Describes the group or groups that are the focus of each communication.

OXCI EFM IMPLEMENTATION PROJECT
PROJECT MANAGEMENT PLAN

COMMUNICATION MECHANISMS

Communication Type	Communication Message	Responsible Party(ies)	Frequency	Target Audience
Project Web Site (Sourceforge)	Project schedule, issues, action items, change requests, source code and testing information.	Project Manager, Developer	As Needed	All Stakeholders
Status Meeting	Project status update and issue discussion.	Developer	Weekly	Project Manager.
Status Meetings	Project status update and issue discussion, particularly testing issues.	Pilot Courts and Vendors	Weekly or Monthly	Project Manager
Written Status Report	Project status update.	Project Manager	Monthly	Architect, Contract Manager, Pilot Courts
Status Meeting	Project status update and issue discussion, particularly architectural issues.	Project Manager	Monthly	Architect
Status Meeting	Project status update and issue discussion, particularly contract issues.	Project Manager	Monthly	Contract Manager
Status Presentation	Project status update and XML schema reviews.	Project Manager	Monthly	LegalXML Court Filing TC
Status Presentation	Project status update and issue discussion.	Architect, Contract Manager	Quarterly	OXCI Steering Committee
Status Presentation	Project status update.	Architect	Quarterly	COSCA/NACM JTC

3. Licensing

Although the advantages of open source development are well known, it is important to realize that there are different types of open source software as defined by various licensing models. For instance, some licensing models have no limitations whatsoever, while others seek to encourage the open release of as much software as possible. A critical policy decision in any open source development effort is the selection of an appropriate open source licensing model.

The OXCI licensing model will ultimately depend on policy decisions to be made by the Georgia AOC regarding licensing fees and intellectual property rights (IPR). In the interim, the source code for the OXCI EFM is being released under the Mozilla Public License (MPL) version 1.1. Key reasons for selecting the MPL include the following:

- The MPL requires inclusion of the source code and license in distributions.
- The MPL allows derived and linked works covered under other licenses.
- The OpenEFM, on which the OXCI EFM is based, is also released under the MPL.

The release of the OXCI EFM under the MPL should encourage the widest use of the OXCI EFM in both open source and proprietary products while promoting the contribution of modifications back to the shared codebase.

G. QUALITY ASSURANCE

Quality assurance includes ongoing processes that ensure the quality of the deliverables. To ensure the quality of the project deliverables, the OXCI project manager will perform periodic code reviews and continual risk management processes to identify and address deficiencies and risks as early in the project as possible. Risk management is detailed in the next subsection.

Code reviews refer to periodic examinations of source code by someone familiar with the software requirements and approach but independent of the development team. This affords the reviewer, often the customer, a chance to view and understand the code in progress. It also affords the developer an opportunity to obtain some early feedback and may even yield suggestions for improving the quality or consistency of the source code. Therefore, code reviews are a best practice for any software development project.

In this project, the OXCI project manager will perform the official code reviews monthly at the end of each of the three development iterations. The availability of the source code on the project Web

site greatly simplifies the code review process and opens up the code to casual review by any stakeholders at any time. This is one of the key advantages of an open source development process. However, the OXCI project manager will need to manage and respond to all feedback from other reviewers so that the OXCI developer may concentrate on the development and testing tasks.

H. RISK MANAGEMENT

Project risks are characteristics, circumstances, or features of the project environment that may have an adverse effect on the project or the quality of its deliverables. Any stakeholder can identify a risk. Project risks are tracked in a risk log and posted to the project Web site.

1. Roles and Responsibilities

Risks are updated and reviewed by the OXCI project manager during the weekly status meetings with the OXCI developer and pilot courts. The OXCI project manager tracks and resolves project-level risks and is responsible for identification and implementation of a risk mitigation strategy. Any risks that require escalation or assistance from stakeholders other than the OXCI developer or pilot courts are escalated to the OXCI architect and OXCI contract manager. Significant project risks are communicated to the OXCI Steering Committee during the quarterly status presentations.

The risk log is illustrated in the Project Management Templates section.

2. Risk Management Process

The process for adding and addressing a project risk includes the following steps:

- A risk is identified and the OXCI project manager documents the risk in the project risk log.
- The OXCI project manager identifies the importance of the risk; the probability of occurrence; the impact of the risk on scope, schedule, quality or budget; the mitigation strategy to resolve the risk; and the status of the risk.
- Risks are reviewed during weekly project team meetings with the OXCI developer and pilot courts. The OXCI project manager is responsible for ensuring that each risk is resolved. Risks that cannot be mitigated or resolved by the project team are escalated to the next level for direction and assistance.
- Closed risks are retained for historical purposes.

A plan will be put into place to minimize or eliminate the impact of each risk to the project.

IV. PROJECT MANAGEMENT TEMPLATES

IV. PROJECT MANAGEMENT TEMPLATES

This section contains blank project management templates. Each template is described in the Project Controls section.

These templates are used by the OXCI project manager to manage project tasks and activities. They are also posted on the project Web site.

A. ISSUE LOG

No.	ESC Y/N	Project	Date Opened	Importance	Description	Assigned To	Due Date	Plan to Resolve	Status	Date Closed
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										
12										
13										
14										

B. RISK LOG

No.	ESC Y/N	Project	Date Opened	Importance	Impact	Probability	Description	Assigned To	Mitigation Plan	Status	Date Closed
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											

C. CHANGE REQUEST LOG

No.	Project	Date Opened	Importance	Impact	Description	Assigned To	Release	Installation Date	Status	Date Closed

D. PROJECT STATUS REPORT

OXCI EFM IMPLEMENTATION PROJECT
PROJECT STATUS REPORT

Period Ending:

Project Name:

Project Manager:

Overall Status
<i>Significant Accomplishments This Period:</i>
<i>Planned Accomplishments Next Period:</i>

Milestone Status			
Major Milestones		Target Date	Status*
Milestone 1			Not Started
Milestone 2			Not Started
Milestone 3			Not Started
Milestone 4			Not Started
Etc.			Not Started

* Status column entries: Not Started, On Target, Behind Schedule, Complete.