

IN THE UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF COLUMBIA

UNITED STATES OF AMERICA,

Plaintiff,

v.

MICROSOFT CORPORATION,

Defendant.

Civil Action No. 98-1232 (CKK)

Next Court Deadline: February 15, 2007
Supplemental Status Report

**SUPPLEMENTAL STATUS REPORT ON
MICROSOFT'S COMPLIANCE WITH THE FINAL JUDGMENTS**

Microsoft hereby files its Monthly Supplemental Status Report regarding Microsoft's Compliance with the Final Judgments. This Supplemental Status Report will be divided into two primary sections. Section I of this report discusses Microsoft's progress in revising the technical documentation in connection with the Microsoft Communications Protocol Program ("MCP"). Section II discusses Microsoft's efforts, in cooperation with the Technical Committee ("TC"),¹ to provide independent software vendors ("ISVs") with the information and tools needed to ensure that their middleware products will register for file-type associations and defaults properly within the "Default Settings" framework of the forthcoming Windows Vista operating system.

¹ The TC as referenced in this report is meant to include Craig Hunt, the California Group's technical expert.

I. **Technical Documentation**

A. *Microsoft's Progress in Modifying the Technical Documentation*

As described in previous reports, Microsoft submitted to the TC on September 1, 2006, a revised proposed schedule according to which the technical documentation will be rewritten to conform to an overarching specification agreed upon by the Plaintiffs, the TC, and Microsoft. The TC and Plaintiffs subsequently informed Microsoft that it is appropriate to proceed on the basis of the schedule as proposed. The schedule proposed by Microsoft focuses on the "Initial Availability" release of documentation to licensees in accordance with five milestones. Although the overall project timetable remains as previously reported, based on additional input from the engineers writing the documents, the architects reviewing the documents, and in consultation with the TC, the number of documents scheduled to be delivered in each milestone has been adjusted. The current schedule for the Initial Availability release of the revised MCPP documentation is as follows:²

Milestone	Initial Availability to Licensees	Number of Documents
Milestone 1	10/25/2006	32
Milestone 2	12/15/2006	24
Milestone 3	2/22/2007	54
Milestone 4	4/11/2007	33
Milestone 5	5/29/2007	35

In accordance with this schedule, Microsoft delivered on time the first Initial Availability release of technical documents to licensees on or before October 25, 2006, which corresponds to "Milestone 1" of the proposed schedule, and the second release of technical documents on

² In total, the schedule reflects the Initial Availability release of approximately 178 separate documents covering approximately 122 distinct protocols.

December 18, 2006, which corresponds to "Milestone 2" of the proposed schedule.³ Although the scheduled date previously reported for Milestone 2 was December 15, 2006, the documents were delivered on December 18, 2006. This delay in delivery was due to a widespread power outage beginning on December 14, 2006 that affected much of western Washington State, including Microsoft's facilities in Redmond. Power was restored to Microsoft's Redmond campus on the evening of December 17, 2006, and the Milestone 2 documents were delivered to licensees the following day. Based on its work to date, Microsoft is on track to deliver the third release of technical documents by February 22, 2007, which corresponds to "Milestone 3" of the current schedule.⁴

Approximately 90 days following the Initial Availability release of a document, Microsoft will make available to the TC and licensees an Online Build of that document for testing. Microsoft expects to deliver the Online Build of the Milestone 1 documents to licensees on January 19, 2007.

As previously discussed, the schedule above contains virtually no "buffer," and it is therefore conceivable that Microsoft may seek to adjust the timetable in response to unforeseen challenges and/or constraints.

³ To date, Microsoft has been engaged in productive dialogue with the TC and solicited feedback from licensees regarding the Milestone 1 and 2 documentation. Microsoft is working to incorporate this feedback into the "Online Build."

⁴ As described in the previous Supplemental Status Report, Microsoft also has committed to providing MCPP licensees with the documentation prepared in connection with the European Commission's Windows Server Protocol Program ("WSPP"). Microsoft notified all current MCPP licensees on September 29, 2006 that relevant portions of WSPP documentation (i.e., corresponding to documents they have licensed) will be made available to any licensee upon request. To date, three licensees have requested and received copies of the relevant WSPP documentation.

a. *Current Status of Microsoft's Progress in Resolving TDIs through December 31, 2006*

As the technical documentation is being rewritten, the TC is continuing to identify issues in the existing technical documentation of protocols for which they have not yet received rewritten documentation. The current status of TDIs in the existing documentation is as follows:⁵

	As of 10/31/2006	Period Ended 12/31/2006
60-Day TDIs Submitted by the TC		
Submitted this period		0
Closed this period		0
Outstanding	185	185
Other TDIs Submitted by the TC		
Submitted this period		24
Closed this period		0
Outstanding	646	670
TC Subtotal Outstanding	831	855
TDIs Identified by Microsoft		
Identified this period		0
Closed this period		4
Outstanding	112	108
Total Outstanding	943	963

B. *Technical Documentation Testing*

a. *Protocol Test Suite*

As previously reported, Microsoft and the TC have continued work on plans for development of a MCPP Protocol Test Suite. Microsoft has contracted with an experienced third-party vendor to explore methods for developing an experimental test suite that can serve as a basis to develop and implement a full test suite. Microsoft also added senior staff with

⁵ As noted in previous Status Reports, Microsoft expects to address the outstanding TDIs in the course of rewriting the technical documentation. As the parties have recognized, because Microsoft is focusing its efforts on revising the technical documentation, the number of outstanding TDIs is expected to rise until revised versions of the documentation are completed. Microsoft's resolution of outstanding TDIs will be reflected as part of its submission to the TC in connection with the Online Build documentation.

experience in test architecture, model-based testing, test development, and program management to its Protocol Tools and Test Team. Since the November Joint Status Report, this team has worked closely with the TC to develop and agree on a set of goals and requirements specifications for the protocol documentation test suite.

Because of the size and complexity of the Protocol Test Suite development project, Microsoft also explored various approaches that are used within Microsoft and throughout the industry to evaluate technical documentation. Based on this review, and with guidance from the TC, Microsoft has selected a set of five protocols that are representative of the different types and complexity levels of the MCPP protocols to implement in preliminary test suites by March 31, 2007. Once completed, the TC will review the development of these preliminary test suites and provide feedback to Microsoft. Microsoft will incorporate this feedback into the preliminary test suites and then will select an additional batch of protocols for the development of a second set of test suites. Microsoft anticipates delivering sets of test suites to the TC and to licensees on a quarterly basis. The protocols to be included in the quarterly releases will be prioritized to correspond to the release of the rewritten technical documentation and to emphasize those protocols that are likely to be of greatest value to licensees.

In addition to this work, Microsoft has continued work on plans to capture network traffic generated by the test suites and to provide these captures to the TC for their validation project.

b. *Interoperability Lab*

On August 30, 2006, Microsoft announced to MCPP licensees the availability, at no charge, of Microsoft's Interoperability Lab in the Microsoft Enterprise Engineering Center for testing licensee implementations of MCPP protocols. The Interoperability Lab offers direct access to Microsoft product development teams with technical support from Microsoft's engineering staff to address issues that may arise during testing. To date, no licensees have responded to this announcement. Microsoft will continue its efforts to inform licensees about the availability of the interoperability lab and to encourage licensees to take advantage of this resource.

c. *Plug-fests*

Microsoft hosted its first plug-fest, which was for licensees of the Media Streaming protocols, on December 12-14, 2006. Two licensees as well as the TC and Mr. Hunt attended the event. During the three-day event, Microsoft provided licensees with various resources and training opportunities, including access to laboratory testing facilities, in-depth technical discussions regarding the protocols, Network Monitor and protocol parsers, Windows client-based test cases, Windows Server reference implementations, and subject matter experts. Feedback from licensees who attended the event was very positive. The vendor working with Microsoft to develop the protocol documentation test suite also attended the event and provided licensees with a set of sample tests for evaluation and feedback.

There are two additional plug-fests currently being planned. Microsoft anticipates that the initial File Server Protocols plug-fest will take place in April 2007, and that the initial Authentication and Certificate Services Protocols plug-fest will be held during the second or third quarter of 2007.

C. *Technical Documentation Team Staffing*

Robert Muglia, the Senior Vice President for Microsoft's Server and Tools Business, continues to manage the documentation effort along with additional senior product engineering team managers.

Altogether, approximately 233 Microsoft employees and contingent staff are involved in work on the MCPP technical documentation. Given the substantial overlap between the MCPP and WSPP, all of these 233 individuals devote their efforts to work that relates to both programs or that is exclusive to the MCPP. Of these, approximately 150 product team engineers and program managers are actively involved in the creation and review of the technical content of the documentation.⁶ In addition, there are approximately 24 full-time employees and 33 contingent

⁶ Although the 233 number reflects a slight reduction since the previous Joint Status Report in the total number of staff devoted to the MCPP, Microsoft believes it will be a more efficient allocation of resources, particularly with respect to the technical documentation rewrite project.

staff working as technical writers, editors, and production technicians. There also are approximately 26 other technical architects, managers, and employees from the Windows product development organization and the Competitive and Regulatory Affairs team who devote a substantial amount of time and effort to the technical documentation and the MCPP in general. Significant attention and involvement in the technical documentation and the MCPP extend through all levels of the Microsoft organization and draw upon the resources of numerous product engineering, business, technical, and legal groups, as well as company management.

II. **ISV Readiness for Windows Vista**

As discussed in Microsoft's previous Supplemental Status Report, the upcoming release of Windows Vista handles middleware settings on a "per user" rather than the previous "per machine" basis. This change to the operating system necessitates that middleware ISVs change various settings in order to take advantage of the newly revised Middleware functionality in Windows Vista. Accordingly, the TC and Microsoft have expanded their cooperation in several ways to encourage middleware ISVs to achieve "Vista-readiness" prior to the shipment of Windows Vista.

To accomplish this objective, Microsoft has worked closely with the TC to notify the 17 "Key ISVs" (the leading vendors that the TC has identified as the targets for Microsoft's outreach effort) in each of the four Middleware categories--Internet browsers, media players, e-mail clients, and instant messaging--of the need to prepare their middleware applications for Windows Vista and of the various opportunities being made available to ISVs by Microsoft and the TC. One of those opportunities is an invitation to attend a Vista-Readiness Lab in Redmond, which includes hands-on access to Microsoft engineers and private meetings with the TC.

Microsoft's outreach efforts have not been limited just to the Key ISVs, but also have focused significant attention on another 13 ISVs ("Other ISVs") that have been identified by the TC. Accordingly, Microsoft has discussed with all Key and Other ISVs the resources and opportunities available for Vista-readiness. To date, most of these 30 ISVs have been extremely responsive and have indicated that they would like to take advantage of the offered opportunities

and resources. Twenty-six of the 30 ISVs, including all of the Key ISVs, have either come to the Vista-Readiness Lab, scheduled a date to attend, or are in the process of scheduling a time to visit. The four additional ISVs that have chosen not to take advantage of the Vista-Readiness Lab are receiving support from Microsoft by e-mail and phone.

Some ISVs have submitted prototypes to the TC and Microsoft to receive additional assistance in ensuring that their products take advantage of the new Middleware default mechanism in Windows Vista. Microsoft and the TC will continue to provide this feedback to interested ISVs.

The status of Microsoft's and the TC's outreach efforts, by Middleware category, is described below.

A. *Internet Browsers*

Microsoft contacted all of the six Internet Browser ISVs identified by the TC. With respect to the three Key ISVs, two have visited Microsoft's Vista-Readiness Lab, and one is in the process of scheduling a time to visit the Lab. With respect to the Other ISVs, two have visited the Lab and one has declined an invitation to attend.

B. *Media Players*

Microsoft contacted all of the nine Media Player ISVs identified by the TC. With respect to the Key ISVs, all four have visited or have scheduled visits to Microsoft's Vista-Readiness Lab. Of the Other ISVs, four have visited or have scheduled a visit to the Lab and one has declined an invitation to attend.

C. *E-mail Clients*

Microsoft contacted all the E-mail Client ISVs identified by the TC. Four of the six Key ISVs have visited or are planning to visit the Vista-Readiness Lab. Microsoft is working with the remaining two Key ISVs to schedule a visit to the Lab. With respect to the Other ISVs, Microsoft is working with three to schedule visits to the Lab and another one has declined an invitation to attend.

D. *Instant Messaging*

Microsoft contacted all of the Instant Messaging ISVs identified by the TC. Three of the four Key ISVs have visited or have scheduled a visit to the Vista-Readiness Lab, and Microsoft is working with the fourth Key ISV to schedule a date to visit the Lab. The Other ISV has declined an invitation to attend.

Dated: January 16, 2007

Respectfully submitted,

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