

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: March 6, 2007  
Joint 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 sections. Section I 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"),<sup>1</sup> 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 for the Windows Vista operating system.

**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

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

conform to an overarching specification format 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 focuses on the “Initial Availability” release of documentation to licensees in accordance with various milestones.<sup>2</sup> 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. In September 2006, Microsoft estimated that it would produce 144 separate documents for 104 distinct protocols. At the time, Microsoft explained that the precise number of documents and protocols was likely to change as the project progressed and that the schedule contained “virtually no buffer.”<sup>3</sup>

Microsoft delivered the Initial Availability Milestone 1 documents to licensees as planned on or before October 25, 2006 and the Online Build on January 19, 2007.<sup>4</sup> The Initial Availability documents for Milestone 2 were delivered to licensees on December 18, 2006,<sup>5</sup> and Microsoft is on track to deliver the Online Build by March 2, 2007. Preliminary feedback from the TC regarding the quality of this newly rewritten documentation has been positive.

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<sup>2</sup> 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.

<sup>3</sup> In October 2006, Microsoft, in consultation with the TC, determined that nine additional protocols (and nine documents related to those protocols) should be added to the schedule. These additions raised the total number of protocols and documents anticipated in the project to 113 and 153, respectively.

<sup>4</sup> In addition, Microsoft provided the Milestone 1 Online Build documentation to the TC. This submission included a version of the XML markup, which the TC plans to use in connection with its internal testing efforts. Microsoft is revising its submission of the Milestone 1 XML markup in response to feedback from the TC. The XML markup is provided only to the TC, so these revisions will not impact the documentation delivered to licensees.

<sup>5</sup> As noted in Microsoft’s previous Supplemental Status Report, the Milestone 2 documents were delayed by three days due to a widespread power outage in western Washington State.

From September 2006 through February 2007, Microsoft conducted an internal audit to ensure that the inventory of protocols covered by the rewrite project is as accurate and as up to date as possible. This internal audit involved hundreds of architects and engineers throughout the company.<sup>6</sup> It also involved an extensive review of Microsoft's ongoing Longhorn Server development efforts to determine whether there were any newly created or modified protocols that should be added to the MCPP.

After carefully reviewing the results of this audit, Microsoft determined that there are 21 additional protocols that need to be documented in addition to the 113 envisioned in the autumn of 2006. Eleven of these new protocols relate to the forthcoming Longhorn Server product, which is still under development.<sup>7</sup> In addition, there are ten protocols that are not new for Longhorn, but that Microsoft nevertheless determined should be added to the MCPP and reflected in the rewritten documentation.<sup>8</sup>

As reflected in Microsoft's past Status Reports, the number of documents included in Milestone 3 has grown steadily over the past several months as the need for additional documentation has emerged. While as recently as last month Microsoft hoped to incorporate

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<sup>6</sup> A similar audit was conducted at the time the MCPP was created in order to identify the protocols that should be made available for license. This latest audit is designed to verify and update the results of that initial audit and to reflect the additional knowledge that Microsoft has accumulated since the beginning of the MCPP.

<sup>7</sup> The schedule presented by Microsoft in the autumn of 2006 reflected Microsoft's best estimate of the number of new Longhorn Server protocols. However, due to the fluid nature of the Longhorn Server development effort, and the fact that the last major beta was many months away, it was not possible to estimate with precision exactly how many new Longhorn Server protocols and documents would be added to the MCPP.

<sup>8</sup> Microsoft's preliminary assessment of these ten protocols is that: five are related to tasks that are rarely, if ever, used by Microsoft; three are extensions to standards that were discovered during the course of the audit; one would not have been within the scope of the MCPP except that it was determined that another protocol that is within MCPP's scope is dependent upon it; and one additional protocol. For the purposes of the newly revised schedule set forth below, approximately ten additional documents relating to these protocols will be evenly divided between Milestones 4 and 5; however, it is possible that the numbers could be reallocated between these milestones in the future to take into account various engineering considerations.

documentation for these newly identified protocols without adjusting the timing of the schedule, the latest increase in the number of documents, and the fact that there is virtually no buffer in the schedule, caused Microsoft to reassess the effect that documenting all of these protocols at one time would have on the quality of the documentation as a whole. Based on Microsoft's latest assessment, the number of documents to be included in Milestone 3 has increased to 66, as compared to the 33 documents noted in the September 2006 schedule. Twenty-two of these 66 documents relate to protocols that are new for Longhorn Server, and 34 of these documents relate to protocols that have had modifications for Longhorn Server.

After careful consideration, Microsoft concluded that producing all 66 documents as part of a single milestone on February 21, 2007 would risk compromising the quality of the documents produced. Accordingly, Microsoft has proposed to the TC and the Plaintiffs adding a new "Longhorn Milestone" to the existing rewrite schedule. This new Milestone will include documentation for recently modified and newly created Longhorn protocols. The Longhorn Milestone documents will be delivered by April 3, 2007, which still is in advance of Longhorn Server Beta 3. As reflected in the chart below, the timing of Milestones 4 and 5 will be moved to a later date to incorporate the addition of the Longhorn Milestone.<sup>9</sup>

Microsoft believes that the revised Milestones set forth in this newly revised schedule are still aggressive, but can be achieved without compromising the quality of the rewritten documentation. While the outside date for completing the Initial Availability release of all documents has been extended, the total number of Initial Availability documents that Microsoft will produce by May 2007 (160) is greater than the number Microsoft would have produced by May 2007 according to the September 2006 schedule (144).<sup>10</sup> Moreover, the total number of

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<sup>9</sup> Although additional changes to the number of documents and protocols included in the remaining milestones remain possible (including taking into account the ongoing development of Longhorn Server), those changes are likely to be minor and should not impact timing.

<sup>10</sup> Under the September 2006 schedule, Microsoft proposed to produce 144 Initial Availability documents by May 29, 2007. Under the revised schedule, Microsoft will produce 160 documents by May 11, 2007.

documents that Microsoft will produce during the rewrite project is now 198, as compared to Microsoft’s estimate of 144 in September 2006. Accordingly, this adjustment to the schedule does not reflect a decrease in effort, but an increase in the amount of work that Microsoft needs to complete.

The newly revised schedule for the Initial Availability release of the revised MCPP documentation is as follows:

Milestone	September 2006 Schedule		Revised Schedule	
	Initial Availability to Licensees	Number of Documents	Initial Availability to Licensees	Number of Documents
Milestone 1	10/25/2006	29	Delivered	32
Milestone 2	12/15/2006	32	Delivered	24
Milestone 3	2/22/2007	33	2/21/2007	37
Longhorn Milestone	n/a	n/a	4/3/2007	29
Milestone 4	4/11/2007	23	5/11/2007	38
Milestone 5	5/29/2007	27	7/20/2007	38

a. *Current Status of Microsoft’s Progress in Resolving Technical Documentation Issues (“TDIs”) through December 31, 2006*

As noted in previous Status Reports, Microsoft expects to address the outstanding TDIs in the course of rewriting the technical documentation. Microsoft’s resolution of outstanding TDIs in the old documentation will be reflected as part of its submission to the TC in connection with the Online Build documentation. Accordingly, Microsoft submitted a memorandum to the TC as part of the Milestone 1 Online Build submission on January 19, 2007, explaining how the revised documentation addressed the existing TDIs for the protocols covered by that documentation.

The current status of TDIs in the old documentation is as follows:

<b>Existing Document TDIs</b>	<b>12/31/06</b>	<b>1/31/07</b>
	<b>60-Day TDIs Submitted by the TC</b>	
Submitted this period		0
Closed this period		0
Outstanding	185	185
<b>Other TDIs Submitted by the TC</b>		
Submitted this period		0
Closed this period		34
Outstanding	670	636
<b>TC Subtotal Outstanding</b>	<b>855</b>	<b>821</b>
<b>TDIs Identified by Microsoft</b>		
Identified this period		0
Closed this period		15
Outstanding	108	93
<b>Total Outstanding</b>	<b>963</b>	<b>914</b>

Microsoft has received positive feedback from the TC regarding the quality of the new documentation as a whole, including the Milestone 1 Online Build documentation. The TC has begun filing TDIs on the new documentation. Microsoft is working with the TC to develop a structure for reporting on the TDIs related to the new documentation as they are opened and closed. This new structure will be explained in the March Joint Status Report.

**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. As noted in the previous Status Report, Microsoft has selected a set of five protocols that are representative of the different types and complexity levels of the MCPP protocols that will be implemented in preliminary test suites. Microsoft has continued its efforts to develop these preliminary test suites and is on track to complete this work by the March 31, 2007 target date. 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 has initiated a series of in-person visits to licensees in order to promote the availability of these services.

c. *Plug-fests*

As noted in the previous Status Report, Microsoft hosted its first plug-fest, which was for licensees of the Media Streaming protocols, on December 12-14, 2006. There are two additional plug-fests currently being planned. Microsoft has started work on the initial File Server Protocols plug-fest, which is scheduled to take place from April 30-May 3, 2007. One licensee already has signed up for this event, and others have expressed interest. 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 300 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 300 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. In addition, there are approximately 24 full-time employees and 41 contingent staff working as technical writers, editors, and production technicians. In addition, as the protocol testing effort has started, there are now 19 full-time employees and 37 contingent staff and vendor staff working as software test designers, test engineers, and test architects. There also are approximately 29 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 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."



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,<sup>11</sup> all three have visited Microsoft's Vista-Readiness Lab. With respect to the Other ISVs,<sup>12</sup> 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. Five of the six Key ISVs have visited the Vista-Readiness Lab. One Key ISV has declined an invitation to visit the lab, but is receiving online support from Microsoft. With respect to the Other ISVs, Microsoft is working with two to schedule visits to the Lab, one has confirmed an appointment, and another one has declined an invitation to attend.

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<sup>11</sup> The "Key ISVs" are vendors that the TC has identified as the targets for Microsoft's outreach effort.

<sup>12</sup> The "Other ISVs" are vendors identified by the TC in addition to the Key ISVs.

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.

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Respectfully submitted,

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