

Management

COPYRIGHT OFFICE SEAL AND LOGO

THE COPYRIGHT OFFICE WORKED throughout the year on a project to develop a new identity package with a new official seal and an updated logo. For the last 25 years, the

Office's logo has been a representation of a pen in a circle. New designs were previewed and refined during fiscal 2003. The Office developed a detailed plan and schedule for implementing the new look on publications, circulars, forms, and stationery at the beginning of calendar year 2004.



REENGINEERING

The Copyright Office Reengineering Program, as detailed in previous reports, proceeded on schedule, progressing into the implementation phase.

The Office has identified and reengineered seven principal processes for the purpose of providing Copyright Office services online, ensuring prompt availability of new copyright records, providing better tracking of individual items in the workflow, and increasing acquisition of digital works for the Library of Congress collections.

In fiscal 2001 and 2002, the Office developed process redesign recommendations and drafted procedures manuals for six process areas: register claims, record documents, acquire deposits, answer requests, receive mail, and maintain accounts. In fiscal 2003, the Office addressed the remaining principal process—process licenses. As with other processes, the Office established a team that developed a streamlined licensing process. In March 2003, the team delivered its draft procedures manual for the new licensing process, which utilizes new technology and online workflow management.

The Office identified bridge activities between the present and future processes. Bridge activities typically are either processes that may continue in their current form for some period of time, or shorter-term support measures that must be put in place until transition is complete.

Implementation efforts in fiscal 2003 focused on the three fronts that support reengineered processes: organization, information technology, and facilities. The Reengineering Program Office (RPO) was established to coordinate reengineering through an integrated implementation plan, scheduled for completion in 2006. The RPO manages the processes and the three fronts. The Office appointed a coordinator for each front and developed plans and procedures to monitor and track program-related risks, issues, and change requests.

Because the three fronts are interconnected, the Office must implement them together, switching over in a single phase in 2006. This is required for two principal reasons: First, the new processes cannot go into production until all organization, information technology, and facilities work has been completed. Three-fourths of the staff will be in a new organization structure with new or revised position descriptions, use new IT tools, and be located in a different place. If work on one of the three fronts is not complete, the Office will not be able to process its work. Second, the Office must continue to provide uninterrupted public services before and during the switchover.

The Three Fronts Supporting Reengineered Processes

The Office has redesigned its core processes of registering claims, recording documents, answering requests, acquiring deposits for Library of Congress collections, processing licenses, receiving mail, and maintaining accounts. Final implementation requires completion of work on three fronts:

Organization: Development of a revised organizational structure centered on the new processes, with new job descriptions focused on the requirements of those processes;

Information Technology: Development of new integrated systems to permit primarily electronic processing of copyright services;

Facilities: Reconfiguration of Copyright Office space to ensure efficient movement of work.

Organization

To implement its new processes, the Office will need to reorganize, and in some cases realign, its divisions and modify some of its individual positions.

In fiscal 2003, the RPO started evaluating the proposed reorganization package. A small organization team began an intensive review of the approximately 135 draft position descriptions.

The RPO revised its comprehensive reengineering training plan during the year and initiated hiring of a Training Officer to implement the plan.

Information Technology (IT)

Information technology is essential to the provision of effective copyright services. The Office has six non-integrated major IT systems and dozens of smaller ones. In fiscal 2002, the Office completed an analysis of IT requirements needed to support the reengineered business processes.

During fiscal 2003, the Office used the findings from that analysis as the foundation for obtaining contract resources to design and build its IT system. The Office selected the Federal Systems Integration and Management Center of GSA to manage and administer the procurement through a Government-wide agency contract (GWAC). The Millennia Lite GWAC best matched the Office's requirements.

Following a careful and thorough evaluation of proposals from interested Millennia Lite Group 4 contractors, the Office selected SRA International, Inc., of Fairfax, Virginia to design and develop the new systems infrastructure.

SRA proposed an innovative solution using Siebel customer relationship management (CRM) and case management software along with the ENCompass search engine from Endeavor Information Systems. The contract, totaling \$8.9 million, was awarded on August 22, 2003, and the contractor began work in the Copyright Office on September 3.

The Information Technology Technical Review Board (ITTRB), an external consultative group of information technology (IT) managers who are familiar with large scale, complex information technology implementations within government organizations, met twice during the year to review IT work plans.

Facilities

The Copyright Office completed essential steps toward facilities redesign to support a reconfiguration of the Office's existing space to accommodate the new processes. The planning, architecture, and engineering firm of Leo A Daly worked closely with the Copyright Office to plan and design the new configuration.

The new design will reflect the new organization and proposed workflow using existing space on portions of three levels in the Library of Congress Madison Building. The design is intended to implement architectural improvements in the most efficient way and with the least disruption to work. It will utilize space efficiently; satisfy adjacency requirements for materials flow; create functional workspace with adequate furniture and workstations; create more secure facilities for in-process documents and claims; consolidate public viewing areas; improve lighting levels as required; and provide aesthetically pleasing spaces for the staff and public.

During fiscal 2003, the first two of four phases of facilities planning were completed: Programming, and Blocking and Stacking. In the Programming Phase, the Office documented functional requirements and adjacency requirements. Subsequently, the contractor developed space prototypes for private offices and open workstations. A Space Program Report documented the number of personnel, area requirements, desired adjacency diagrams and space prototypes.

In the Blocking and Stacking Phase, space was allocated in the available floor area, taking into account adjacency requirements. A blocking diagram shows both the size and location of each group.

The remaining two phases—Design Development and Space Planning, and Development of Construction Documents—are expected to be completed in Fiscal Year 2004.

Communications on Reengineering

The RPO involved stakeholders in the reengineering process and included Copyright Office staff and management at all levels on teams and committees. Communications with staff about reengineering implementation was conducted through distribution of *ReNews*, the Office's reengineering newsletter; stakeholder meetings with staff and managers within the Office and in affected areas of Library of Congress service and support units; all-staff meetings; the posting of updates and information on a reengineering Intranet website; and articles distributed through *Copyright Notices*.

MANAGEMENT CONTROLS AND BUDGET

Management Controls

The Management Control Program ensures that Copyright Office programs are carried out in the most effective and economical manner possible and that assets are safeguarded.

During fiscal 2003, the Office conducted Vulnerability Assessments on its 22 management control modules, of which three were found to be low risk and the rest at medium risk. The Office decided to perform control reviews for four modules, which were completed by June 2003. The small number of letter findings were incorporated into a Corrective Action Plan.

The Register issued a year-end determination asserting the following: reasonable assurance that obligations and costs comply with applicable law; assets are safeguarded against waste, loss, unauthorized use, or misappropriation; proper accounting of revenues and expenditures are provided; and program activities are carried out effectively and economically.

Budget

The Copyright Office annually receives three appropriations from Congress: BASIC, Licensing and CARP. For fiscal 2003, Congress reduced the BASIC appropriation base by \$5,650,000 and directed the Copyright Office to use the \$5,650,000 funds left over from the fiscal 2002 supplemental appropriation that remained in a separate No-Year Account. Total fiscal 2003 Copyright Office budget authority was \$44,621,031 with a full time equivalent (FTE) staff ceiling of 530.

The BASIC appropriation (\$38,470,273) funds the majority of the Office's activities. The Licensing budget activities (\$3,515,003) and the CARP budget activities (\$2,635,755) were fully funded from user fees withdrawn from royalty pools. In the BASIC appropriation, the Office received \$1,441,000 in new offsetting collections authority to fund information technology support for the Reengineering Program.

The total BASIC appropriation derives its funding from two revenue sources: net appropriations from the U.S. Treasury (\$9,499,273 in fiscal 2003) and offsetting collections authority from user fees (\$23,321,000). At the end of the fiscal year, the Office had applied \$23,126,089 in user fees to the appropriation.

Investment Income from Deposit Accounts

In fiscal 2003, the Office continued to invest deposit account holdings in U.S. securities. Deposit account holdings decreased slightly to about \$3,848,000. A total of \$44,296 in interest was earned from investments during the fiscal year.

SECURITY

Security Tagging, Asset Marking, Item Bar Code Labeling

The security tagging of copyright deposits was officially reassigned from the Library's Collection Access Loan Management Division (CALM) to the Copyright Receipt Analysis & Control Center (RACC) in December 2002. Following extensive archival testing of several sample security tags, the Office purchased tags that meet the new performance and material specifications for book materials. The Binding and Collections Care Division of the Library's Preservation Directorate prepared guidelines for the application of book security tags and trained RACC staff. The Preservation Directorate also developed security tag specifications for videocassette formats.

In July 2002, the Library Services/Copyright Office Joint Issues Group on Labeling, part of the reengineering effort, issued a report recommending that management streamline the marking and labeling of formats received by the Acquisitions Directorate and the Copyright Office. In April 2003, the Library and the Copyright Office created an oversight group known as the Labeling Joint Implementation Team (LJIT) to manage the implementation of recommendations from the report. The team is charged with forming sub-groups to perform certain tasks and monitoring their activities. Sub-groups will:

- Address workflow for motion picture and recorded sound materials going to the Library's new Culpeper facility;
- Revise Library of Congress regulations to match the Joint Issue Group's recommendations;
- Develop specifications for software to produce shelving number, title, and other on-demand labels;
- Determine specifications for vendor-produced labels and efficient methods for dispensing and applying labels;
- Develop appropriate administrative procedures for the procurement, testing, and dissemination of label stock, security devices, and containers; and costing and submitting a budget request.

Personal Belongings Program

Together with other Library of Congress reading rooms, the Copyright Office implemented a new policy to reduce the opportunity for concealing and removing material or for introducing implements that could be used to mutilate collection items or Office records. Members of the public may stow their personal belongings in lockers located in the Copyright Card Catalog area and the Copyright Records Maintenance Unit. To improve security, the entrance of the Copyright Card Catalog Room was redesigned at the reader registration check-in area, lockers were relocated, and additional lockers were installed.

Site Assistance Visits to Monitor Adherence to Security Practices in Processing and Curatorial Divisions

Members of the Library's Collections Security Oversight Committee performed site assistance visits to curatorial and processing divisions, including the Copyright Office, to ensure adherence to established standards and security practices. Visits were conducted in the five copyright processing areas. Results were generally good, with only a few recommendations for corrective actions made to the appropriate division chiefs.

SAFETY AND EMERGENCY PREPAREDNESS

Based on the 2002 Report of the Library’s Task Force on Protective Measures, several safety and emergency preparedness initiatives were scheduled and implemented. The Library purchased escape hood respirators for use by its employees, on-site contractors, and visitors during an actual or suspected chemical or biological terrorist event. Staff were trained and received escape hood respirators to keep at their work stations.

The Office distributed emergency lanterns and emergency support packs for use during building evacuation and shelter-in-place situations.

In March 2003, the Library of Congress published its Employee Emergency Action Guide (EEAG). The purpose of the guide is to promote safety of Library staff and other building occupants in the event of various types of emergency situations, and for employees to know what actions to take.

The Guide outlined management and supervisory responsibilities, including the development of a localized Internal Emergency Action Plan (IEAP) for employees and contractors assigned to the division.

By year-end each Copyright Office division and office had

- Identified primary and secondary evacuation assembly areas outside the Library;
- Identified shelter-in-place locations;
- Designated an Office Emergency Coordinator and alternate for each division and office;
- Identified employees within the division/office who require special assistance during evacuation, and assigned and guided “buddies” to help evacuate the employees from the office to the nearest area of refuge;
- Prepared the division’s emergency action plan, trained staff and contractors in the plan, and maintained a written record of the training provided to employees and the distribution of the EEAG, the IEAP, and the emergency evacuation route map; and
- Posted an emergency evacuation route map at every exit door within the divisions.



Safety and emergency preparedness equipment distributed included escape hood respirators, emergency support packs, and emergency lanterns.

INFORMATION TECHNOLOGY ACTIVITIES

In addition to the IT work done as part of the reengineering program and outlined earlier in this report, the following technology work was undertaken during the fiscal year:

Migration of Copyright Cataloging Data to the Voyager Integrated Library System

For the past 25 years, the Copyright Office has used the COPICS system on the Library's mainframe computer to create and provide access to the historical records of copyright ownership. With the planned retirement of the mainframe at the end of 2004, the Office decided to use Voyager, the same software used by the Library for the Integrated Library System, to maintain its records in the future.

In April 2003, the Office initiated a project to plan and design the migration of copyright records dating back to January 1978 to the Voyager environment. The Office collaborated with staff from Library Services and the Cataloging Distribution Service to prepare specifications for migrating monograph and serial records. Development and testing are underway. Similar specifications are being developed for copyright document records.

In fiscal 2004, the Office will prepare specifications for migrating mandatory deposit records; develop and execute plans to move historical data records to the new environment; and set up input and output formats and procedures to enable the staff and public to access the records through Voyager.

Copyright Office Electronic Registration, Recordation and Deposit System (CORDS)

CORDS is the Copyright Office's current prototype system to receive and process digital applications and digital deposits of copyrighted works for electronic registration via the Internet from a limited number of cooperating partners who meet current criteria.

Through CORDS, copyright applications can be filed electronically by sending applications and deposits in digital form. The CORDS system facilitates full electronic processing, including initial preparation by the applicants on the "front end" and completely automated processing on the "back end" by the Copyright Office.

CORDS continued to be used during Fiscal Year 2003 to process 21,000 full electronic claims in textual works and music. The replacement of the prototype with more robust software reached the testing phase. The Office completed the transfer of responsibility for

refinement, tuning and implementation of the new software to the Library. Three releases of the new software are planned. These will center around the internal server (i.e., the database processing), the submitter or client that remitters will be using, and the examiner/cataloger module for internal processing.

Copyright Office In-process System (COINS)

The Office collaborated with the Library's Information Technology Services (ITS) and users of the COINS system to test and tune the new Oracle-based system and to complete the user guides and training. Conversion from the Data General system to Oracle was completed and the new system was successfully installed on June 2, 2003. Users received additional written instructions and guides, group training and one-on-one sessions.

Copyright Imaging System (CIS)

The company responsible for the old proprietary Copyright Imaging System canceled its maintenance contract in August 2003. This compelled the Copyright Office and ITS to implement the new system while various testing and development issues were still being addressed.

The new Kofax/Oracle CIS was installed on August 11, 2003, for entry of prospective images and records. By September 8, 2003, ITS had completed the conversion of all 5,000,000 retrospective images and provided the Copyright Office with a complete database with records dating back to 1993.

The new system includes all new hardware and software and enables access to the records from any workstation in the Copyright Office. The Office is working with ITS to resolve several significant system issues and incorporate changes that will facilitate higher productivity.

Paper Check Conversion (PCC)

PCC converts personal and business checks into electronic funds transfers. The process occurs at the point of sale. PCC benefits everyone in that workload is reduced by removing paper from the process; returns processing is improved; exception handling is easier; the deposit and collection process is quicker; failed items may be resubmitted; the acceptance of dishonored checks is reduced; the system provides a complete electronic record of converted checks; and there is an audit trail for each item.

The Office piloted paper check conversion in areas where payments from walk-in customers were processed upon receipt. This pilot was successful in the Certifications & Documents Section. Another paper check conversion pilot project began in August 2003 to convert deposit account replenishment checks.

Respectfully submitted to the Librarian of Congress by
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