

Management

COPYRIGHT OFFICE IDENTITY PACKAGE

In January 2004, the Copyright Office implemented its new identity package with a new official seal and logo, bringing a fresh look to publications, circulars, forms, stationery, and the website. For the previous quarter century, the Office's logo had been a representation of a pen in a circle. The identity package is both restrained and contemporary, reflecting the Office's tradition of reliable service and its movement into the 21st century world of online delivery and digital technology.

REENGINEERING

The Copyright Office Reengineering Program, as detailed in previous reports, proceeded on schedule, continuing its 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 Years 2001–2003, the Office developed process redesign recommendations and drafted procedures manuals for seven process areas: register claims, record documents, acquire deposits, answer requests, receive mail, maintain accounts, and process licenses.

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 Year 2004 continued to focus on the three fronts that support reengineered processes: organization, information technology, and facilities.

The Reengineering Program Office (RPO) coordinates reengineering through an integrated implementation plan. The Office has a coordinator for each front who monitors and tracks program-related risks, issues, and change requests. The Reengineering Program is scheduled for completion in Fiscal Year 2007.

Because the three fronts are interconnected, the Office plans to implement them together, switching over in a single phase. A single phase is required for two principal reasons: the new processes cannot go into production until all organization, information technology, and facilities work has been completed; and the Office must continue to provide uninterrupted public services before and during the switchover.

Organization

To implement its new processes, the Office will reorganize, and in some cases realign, its divisions and modify many of its individual personnel position descriptions.

In Fiscal Year 2004, the RPO further evaluated the proposed reorganization package and extensively revised or rewrote 186 position descriptions.

In 2004, the RPO began the process to hire a Training Officer to implement the reengineering training plan. The initial implementation of the training plan began with a four-hour change management course for the Reengineering Program Office and top managers. The training objectives were to:

- Identify historical success factors for change
- Understand the potential responses to change
- Promote the success of the change

After evaluation, the course was modified in preparation for offering it in the succeeding months to all managers and supervisors and then to staff.

Information Technology (IT)

In 2003, the Office selected SRA International, Inc., of Fairfax, Virginia, to design and develop its new systems infrastructure to integrate the functions currently performed

by six nonintegrated major IT systems and dozens of smaller ones. 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 IT project will implement a new systems infrastructure to support the seven reengineered business processes and the nonreengineered processes in the Office of the Register, Office of the General Counsel, Office of Policy and International Affairs, Copyright Technology Office, Administrative Services Office, and the Publications Section of the Information and Reference Division.

The new IT system will enable the Office to provide its services to the public online in a timely manner and manage its internal processes through a centralized case management system. Users of Copyright Office services will be able to check the status of in-process service requests, supply additional information, and resolve discrepancies. Key features of the system include:

- electronic submission of service requests, Web payment, and submission of certain types of deposited works as electronic files;
- imaging of paper materials upon receipt;
- optical character recognition (OCR) to capture certain data from image files;
- integrated access to information across departmental boundaries;
- data import and export from other Library of Congress systems and external databases and data extraction from service request records to begin catalog records and provide data sharing across the Office and Library catalog systems;
- tracking of physical deposits flowing through the business processes.

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 a new integrated system to permit primarily electronic processing of copyright services*

Facilities: *Reconfiguration of Copyright Office space so that space relationships support movement of work through the processes*

The copyright registration application process has primarily been paper-based, with the great majority of applications arriving in the mail. A main goal of the reengineering program is to obtain as many future copyright application forms electronically as possible. However, because some applicants will not have online access or may choose not to register online, the Office created a paper application form to replace existing forms. The application form can be scanned into the electronic workflow process, edited, examined, and cataloged online. The form has a new layout, headings, and instructions to make it easier for applicants to complete the form correctly, and it combines the most frequently used forms into a single application form.

Independent verification and validation (IV&V) is the process of having an outside review and validation of major deliverables at key points to help determine and mitigate risks before implementation. In July 2004, the Office selected NCI Information Systems, Inc. of Reston, Virginia, and their subcontractor CNSI of Rockville, Maryland, to perform independent testing and monitoring of the new IT system for quality, content, system security, and completeness.

The Office held regular meetings with users and developers and reviewed system development life cycle products including the Project Management Plan, the System Design Document, the System Test Plan, and the System Transition Plan. The Copyright Office Change Control Board, made up of the reengineering managers and front coordinators, reviewed changes in the IT requirements. Based on the refined requirements, SRA proceeded to configure and make some customization of the Siebel software with the goal of creating a pilot version suitable for processing motion picture claims and receiving electronic deposits of serials and monographs.

The system is being constructed in five “builds.” Build 1 included initial Siebel screen design and navigation. Build 2 includes the Receive Mail and Register Claim requirements and the receipt and processing of electronic deposits. This build laid the groundwork to begin pilot processing of motion picture claims starting in February 2005, incorporating Siebel case management, paper scanning via Captiva software, touch screen technology, and the creation of copyright cataloging records through a Siebel/Voyager interface. The pilot will also support receipt of electronic deposits.

Builds 3 through 5 will add functionality for the remaining processes and processing of electronic claims receipts. The present prototype system (see page 59) will be supplanted by the Siebel system, available through the new Copyright Office Web portal and business-to-government links for high volume remitters.

Implementation of the new system's full operating capability will occur in the last half of Fiscal Year 2007 upon completion of facilities renovation in the Library of Congress Madison Building.

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 new design will support the new organization and proposed workflow using existing space on portions of three levels in the Madison Building.

The design is intended to implement architectural improvements in the most efficient way and with the least disruption to work and to utilize space efficiently for adjacency and materials flow; create functional workspace with adequate furniture and lighting levels; create more secure facilities for in-process materials; consolidate public viewing areas; and provide an aesthetically pleasing work environment.

The planning, architecture, and engineering firm of Leo A Daly worked closely with the Copyright Office to plan and design the new configuration. After completing the programming as well as the blocking and stacking phases of facility design in Fiscal Year 2003, the Office continued with the final phases of facilities planning in Fiscal Year 2004: design development and space planning, development of construction documents, and furniture selection and specification. These final planning phases included development and refinement of cubicle and office furniture prototypes, space plans for all areas, selection of high-density shelving for certain storage areas, identification of shared electrical equipment, and development of the furniture schedule and tasks. The design development and space plans, including demolition drawings, partition drawings, general furniture layout, and power/electrical plans, were submitted to the Architect of the Capitol in April 2004.

The second phase of construction documents, including selection of new furniture and specifications, re-used and new furniture plans, millwork drawings and finish plans, is 95 percent complete. Staff have viewed and tested furniture mock-ups of prototype cubicles, and the Library ergonomic consultant has advised on the layout. The Library is developing a contract for furniture purchase.

The Library's Facility Services initiated recruitment for a project manager to oversee the redesign of Copyright Office facilities in the Madison Building.

In Fiscal Year 2006 and early Fiscal Year 2007, while the Copyright Office space in the Madison Building is reconfigured, the Office's operations will be carried out from an alternate site. The process of identifying this offsite rental space began during Fiscal Year 2004 with the assistance of the Library's infrastructure units working through GSA. The logistics of the move will be significant, given the Office's intention to move off site some 500 staff, their operational tools, and in-process work within a short time period. The Office began regular meetings with the Library's Integrated Support Services and Information Technology Services to resolve issues and prepare detailed plans for the

move to and from the off-site facility.



Three avenues of Copyright Office communication

Communications on Reengineering

The RPO involved stakeholders in the reengineering process and included Copyright Office management and staff at all levels on teams and committees. Communications with staff about reengineering implementation

were conducted through distribution of *ReNews* (the reengineering newsletter) and an email version called *ReNews Lite*; stakeholder meetings with staff and managers within the Office and in affected areas of Library of Congress service and support units; all-staff meetings and hallway chats; the posting of updates and information on a reengineering Intranet website; and articles distributed through *Copyright Notices*.

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 Year 2004, the Office conducted Vulnerability Assessments on its 23 management control modules. The Office decided to perform control reviews for four modules, which were completed by May 6, 2004. A single management letter finding was noted and corrected by July 2004.

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. Total Fiscal Year 2004 Copyright Office budget authority was \$48,042,513 with a full time equivalent (FTE) staff ceiling of 530.

The BASIC appropriation (\$41,699,513) funds the majority of the Office's activities. The Licensing budget activities (\$3,650,000) and the CARP budget activities (\$2,693,000) were fully funded from user fees withdrawn from royalty pools. The Office's BASIC fund received \$2.1 million in new net appropriations to support information technology systems development within the Reengineering Program.

These budgeted amounts included a 0.59 percent across-the-board rescission required by Congress in its Omnibus Appropriations Bill.

The total BASIC appropriation derives its funding from two revenue sources: net appropriations from the U.S. Treasury (\$18,516,107 in Fiscal Year 2004) and offsetting collections authority from user fees (\$23,183,406). At the end of the fiscal year, the Office had applied \$23,739,028 in user fees to the appropriation.

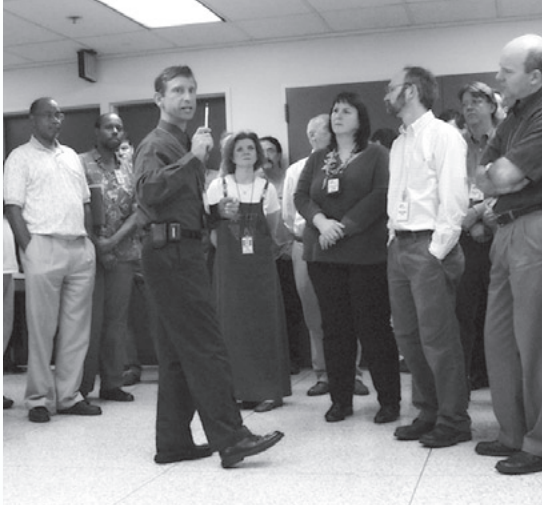
Investment Income from Deposit Accounts

In Fiscal Year 2004, the Office continued to invest deposit account holdings in U.S. securities. Deposit account holdings totaled about \$4,117,000. A total of \$38,732 in interest was earned from investments during the fiscal year.

SAFETY AND EMERGENCY PREPAREDNESS

The Copyright Office worked closely with OSEP on safety and emergency preparedness issues, including revising and shortening the Library's Consolidated Emergency Management Plan, revising the Employee Emergency Action Guide, preparing a

Shelter-in-Place plan, upgrading Internal Emergency Action Plans to comply with regulations, posting consistent exit maps, staffing Emergency Evacuation Teams, and conducting mini-drills.



Emergency Evacuation Team members receive instructions

of the Capitol (AOC) is being replaced with a new system that will be managed by the Office of Security and Emergency Preparedness (OSEP). Card readers will be installed in fiscal year 2006 pending approval of OSEP's Fiscal Year 2006 budget request for funds to complete electronic security systems. Installation will coincide with the completion of the Copyright Office reengineering process and office-wide space redesign and reconfiguration. The electronic system will support access control, intrusion detection, and video monitoring in selected areas.

Security Tagging, Asset Marking, Bar Code Labeling

The Copyright Receipt, Analysis, and Control Center continued security tagging of book materials. The Library of Congress developed security tag specifications for video cassette formats. Security tags for other material formats have not been approved.

SECURITY

Access Control, Intrusion Detection, and Video Monitoring

The Library continues to develop its electronic security systems library-wide. An older system managed by the Architect

The Labeling Joint Implementation Team (LJIT), created in 2003 to oversee and manage the implementation of recommendations relating to labeling of Library and Copyright Office materials, appointed subgroups to

- identify workflow and schedules for preparing material for shipment to the new National Audiovisual Center at Culpeper, Virginia
- determine costs and submit a budget request
- develop specifications for software for in-house production of title labels and a serial shelving number label to reduce handwritten transcription
- develop administrative procedures for procuring, testing, and disseminating appropriate label stock, security devices, and containers
- determine specifications for vendor-produced item bar code accession labels and retrieval labels, an “edge” or property stamp to replace the LC Seal, and perforation equipment to mark microfilm

In preparation for Motion Picture, Broadcasting and Recorded Sound (MBRS) Division’s move to Culpeper and the upcoming Copyright Office motion picture pilot, one subgroup concentrated on the labeling of DVDs, videocassettes, motion picture film, and copyright descriptive material that accompanies motion picture deposits. The Copyright Office purchased new item bar code accession labels to be applied to these formats during the pilot.

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

Members of the Collection Security Oversight Committee along with OSEP completed the first round of Site Assistance Visits (SAVs) to all curatorial and processing divisions, including the Copyright Office. The purpose for the visits is to ensure adherence to established standards and security practices. The program has four objectives:

- strengthen the Library’s security
- enhance staff security awareness
- provide independent follow-up addressing control weaknesses identified by risk assessments in selected divisions

- address control weaknesses identified by the Office of Inspector General's March 29, 2002, audit of collections security

SAV reports were disseminated to the Chiefs of the divisions visited and to the Director of Security. Numerous improvements resulted: increased staff member display of identification badges, improved control of generic electronic access cards and keys, and decreased numbers of uncharged or improperly charged books.

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 Copyright Online Publication and Interactive Cataloging System (COPICS) on the Library's mainframe computer to create and provide access to the historical records of copyright ownership. 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 once the mainframe is retired in September 2005.

The Copyright Office worked with Library Services, the Catalog Distribution Service, and ITS to map Copyright Office record data fields to MARC 21 data fields and subfields. The Office prepared specifications for all existing record types, including monographs, serials, documents, and voluntary deposits. ITS used the specifications to convert a sample of existing records to enable staff to test the accuracy and consistency of conversion.

The Office and SRA collaborated in designing data migration for registered claims from the Siebel record into the Voyager database.

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 participants who meet current criteria.

Through CORDS, participants filed over 23,000 copyright applications electronically by sending applications and deposited works in digital form. The CORDS system facilitates the electronic processing of copyright registrations, including preparation by the applicants and work done by Copyright Office examiners and catalogers.

Copyright Office In-process System (COINS)

The Office completed the first full year of processing under the new COINS system. The Office identified changes and adjustments that were implemented in Release 2 of the system. In addition to tracking claims and all other fee service requests, the new system provides statistics on workload and processing status. All archived records were moved from the obsolete Data General computer to an adjunct Oracle database enabling users to search both current and closed records through Oracle, and enabling ITS to retire the Data General.

Copyright Imaging System (CIS)

The new imaging system completed its first full year of processing. The Office defined and implemented a number of improvements during the year, including faster release and validation of records.

Respectfully submitted to the Librarian of Congress by

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