

Management

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Among the locations considered as potential off-site space for the Copyright Office during renovations are Crystal Plaza 5 and 6 in Arlington, Virginia.

REENGINEERING

In Fiscal Year 2005, the Copyright Office continued its multiyear effort to reengineer its principal public services. The reengineering effort began in FY 2000, and full implementation is scheduled for FY 2007. Reengineering objectives include: improving the efficiency and timeliness of Copyright Office public services; providing more services online; ensuring the prompt availability of new copyright records; providing better tracking of individual items in the workflow; and increasing the acquisition of digital works for Library of Congress collections. See the Copyright Office's annual reports for FY 2000 through FY 2004 for additional background on the project.

Reengineering Planning and Management

The Office's implementation efforts in FY 2005 continued to focus on the three fronts that support the reengineered processes: organization, information technology (IT), and facilities. Each front has a coordinator who monitors and tracks program-related risks, issues, and change requests. Because the three fronts are interconnected and the Office must provide uninterrupted customer service, the Office will implement all fronts at one time when it switches to new processes in 2007. Before the full implementation, the Office is conducting pilot projects to test the new processes and IT systems.

The Reengineering Program Office (RPO) manages the overall effort. It held regular meetings with the front coordinators and a July 2005 two-day off-site planning session with managers and management support personnel to review all aspects of the reengineering project.

On June 16, 2005, the Information Technology Technical Review Board (ITTRB), an external consultative group of IT industry managers who are familiar with complex IT implementations in government organizations, met Copyright Office stakeholders and gave a positive assessment of the IT effort.

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*

Organization

To implement its new processes, the Office will reorganize, and in some cases realign, its divisions and modify many of its position descriptions. In FY 2005, significant work was accomplished in the development of the proposed reorganization package, and a large number of position descriptions were revised or rewritten. At the end of the fiscal year, this major drafting effort was close to completion; the reorganization package will go to the Register of Copyrights for her review and approval in mid-FY 2006.

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. The integrated IT infrastructure, to be known as eCO (Electronic

Copyright Office), will use Siebel customer relationship management (CRM) and case management software along with the ENCompass search engine from Endeavor Information Systems and Captiva optical character recognition software.

eCO 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.

The system is being constructed in five “builds.” Build 1 included initial Siebel screen design and navigation. Build 2 included the Receive Mail and Register Claim requirements and the receipt and processing of electronic deposits, laying the groundwork for pilot processing of motion picture claims that began in February 2005. Builds 3 through 5 will add functionality for the remaining processes and processing of electronic claims receipts. The present CORDS system will be supplanted by eCO, available through the new Copyright Office web portal and business-to-government links for high volume remitters.

To ensure compliance with a new Library of Congress system security regulation and newly issued security directives, the Office established a Security Review Board (SRB) made up of Copyright staff and consultants. The SRB created a System Security Plan defining the security requirements, conducted a risk assessment, carried out a security compliance test and evaluation, and made recommendations to Copyright management about the security status of the software for the pilot. The Office thus obtained interim authorization to operate and moved the system to production.

Implementation of the new system’s full operating capability will occur in Fiscal Year 2007 upon completion of the 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 and 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 record viewing areas; and provide an aesthetically pleasing work environment.

In November 2004, the Library’s Facilities, Design, and Construction Office (FD&C) appointed a full-time project manager to oversee the renovation of Copyright

Office facilities, including master scheduling and design scheduling. The FD&C also assigned a full-time senior and junior designer to the project.

In late September 2005, the Library's Facilities Office received the final draft construction documents for the Office's existing space in the Madison Building. Following a final review and revisions, the documents will be signed, delivered, and ready for contractor bidding.

In September 2005, after an extensive search effort for temporary off-site lease space, the Library signed occupancy agreements with Government Services Administration (GSA) for space within two buildings in Crystal City, Virginia. GSA signed the lease with the landlord for one building and the other lease is expected to be signed in October 2005. FD&C developed and submitted design intent drawings to the architect who is developing the construction documents for the off-site rental space. Renovation of the rental space is scheduled to begin in January 2006, with the Office planning to move most of its operations to the temporary off-site space in May 2006. The remaining operations and staff will be relocated in swing space on Capitol Hill.

Moving a large part of the Copyright Office to Crystal City and back to the Madison Building a year later will be a huge undertaking. The Library hired a move management contractor (MMC) to plan, coordinate, and supervise the effective completion of the Office's relocation. The selection of the MMC signifies the beginning of the relocation process.

Communication

The RPO continued to involve stakeholders in reengineering discussions and included Copyright Office management and staff at all levels. The Office communicated about reengineering implementation through *ReNews*, the reengineering newsletter; *ReNews Lite*, an email version used for quick updates; articles in *Copyright Notices*; the Reengineering Intranet website; and stakeholder meetings with staff and managers within the Office and in affected areas of Library of Congress service and support units. The Office encouraged staff to submit ideas and questions to a designated RPO email address.

The Office held regular monthly meetings with representatives of labor organizations to provide updates and discuss staff concerns regarding the temporary relocation of staff to off-site office space and other reengineering-related issues.

During FY 2005, the Office provided reengineering overviews and updates to House and Senate Appropriations Committees staff members, the Library's Executive Committee, American Intellectual Property Law Association members, and managers and staff throughout the Library of Congress and the Copyright Office.

Training

The Office trained staff in the Motion Picture Pilot project and the Selection Pilot to test reengineered processes and systems.

In January 2005, Motion Picture Pilot staff attended change management training. Approximately thirty staff members completed the three-hour training workshop, delivered by a contractor representative. The training focused on preparing the staff for the changes in procedures and job roles in the Motion Picture pilot, as well as change involved with the reengineering effort as a whole. The objectives of the training included identification of historical factors for change, understanding the emotional responses to change, identification of resistance to change, and promotion of the success of change.

In September 2005, a group of managers and staff of the Examining and Cataloging Divisions received change management training. Based on feedback from attendees, the Office decided to shift the approach to training the remaining Copyright Office staff in change management using an online course offered through the Library's Center for Learning and Development.

In September 2005, all staff who work with Copyright Office catalog records received extensive training in the Voyager system. This training was done in anticipation of the conversion of copyright records from the current COPICS system to the Voyager system in early FY 2006. More information on the COPICS-to-Voyager conversion can be found in this chapter's section on information technology activities.

During the latter half of FY 2005, the Office completed extensive work to communicate about, and prepare for, a major cross-training program for examiners and catalogers scheduled to begin in October 2005. The purpose of the training is to prepare current catalogers and examiners to perform the combined duties of the proposed registration specialist position, which will include both examining and creation of registration records. The plan calls for a series of four-month training

sessions, in each of which a small group of catalogers will be trained in examining, and vice versa.

By the end of FY 2005, the position description and related documentation were completed for the new position of Training Officer for the Copyright Office. The position was posted at the end of the fiscal year and is expected to be filled in early FY 2006.

Motion Picture Pilot

On February 14, 2005, the first pilot project testing the new processes and the eCO system began in the Motion Picture Unit. The examiners, catalogers, and technicians who participated in this pilot project processed real copyright registration claims and generated official certificates using most features of the new system. Staff processed fees and printed final certificates using current systems. New features tested in the pilot included scanning paper application forms upon receipt, and no use of paper forms or paper files of any kind in the rest of the process; using the eCO system for examining and cataloging; catalogers and examiners working as registration specialists to perform both cataloging and examining functions; viewing catalog records in MARC format; and tracking the location of deposits at every stage in the eCO system.

This pilot helped the Office to identify and resolve problems and document proposed future enhancements. The use of the current paper application Form PA created a limitation on the pilot project, since this form was not designed for Optical Character Recognition (OCR). The Office is studying possible alternatives to OCR.

Electronic Deposit Pilot

The Office began a pilot project in the Copyright Acquisition Division to test the receipt of electronic deposits via the eCO system. On a voluntary basis, selected publishers submitted deposits in electronic formats via the Internet, attaching the deposit files to a simple online form that captured some basic bibliographic data. The pilot brought to light a number of technical issues, including the need for additional work with various web browsers and their operational and security features. Many of these had been resolved by the end of the fiscal year. This pilot was to prepare the way

for a future pilot in which registration claims, including online applications, filing fees, and deposits in electronic formats, will be received via the Internet.

Selection Pilot

Selection is the process of deciding whether materials should be added to the Library of Congress collection. On March 14, 2005, a pilot project began in the Examining Division to test the new procedures under which Copyright Office staff members make selection decisions for routine categories of registration deposits. In FY 2003, Library Services and the Copyright Office approved the pilot proposal of the Selection Joint Issue Group, cochaired by a supervisor in the Literary Section of the Examining Division. The pilot implementation team began meeting in 2004 and continued its work in Fiscal Year 2005. Several copyright examiners received training and began making selection decisions that were reviewed by Library Services selection officials, devoting 1 day per week to the pilot. Deposits examined in the pilot include books from large trade publishers, other monographs, printed music, and audio compact discs.

Electronic Registration Pilot

In the latter half of FY 2005, the Office prepared extensively for a pilot project to test the submission of copyright registration claims via the Internet. The pilot is scheduled to begin in FY 2006. Working groups met with the IT contractor to design the online application form and help text. At the beginning of the pilot, a limited number of copyright applicants, consisting of the current CORDS participants and selected motion picture applicants, will submit applications via the Internet. The pilot will also test the receipt and processing of both electronic and hard copy deposits with electronic applications, and the first use of the eCO system to process fees.

The pilot will also include support for filing of applications for preregistration (described in the first section of this report) and search capability for the Answer Request process area. Preregistration is to be a first release of functionality within this pilot and will include support for payment via *Pay.gov* or through existing deposit accounts. Electronic claim processing through the Copyright Office webpage portal will follow in the same pilot.

Public Records of the Future

On March 14, 2005, the Register of Copyrights issued a memorandum entitled “Decisions Concerning the Recommendations of the OPAC Group on Copyright Public Records Requirements” in response to an earlier recommendation on the content of copyright records made by the Online Public Access Catalog (OPAC) Group, a task group developing the future public view of catalog records. In her memorandum, the Register emphasized the primacy of copyright facts in registration records and the importance of clearly distinguishing copyright facts from bibliographic information. The latter should be limited to information clearly necessary to identify the registered work and essential for searching using current automated search technology.

The Register directed that a working group deal with unresolved issues and develop detailed recommendations. The group forwarded recommendations to the Register for her review and approval, to be followed by the revision of rules for registration records.

Revised Application Form

In FY 2005, a group worked on the design of a revised application form to replace the current Forms PA, SR, TX, and VA. The new form, intended to be easier for applicants to complete correctly and formatted for the best possible results with optical character recognition (OCR), did not have the expected benefits. The Office postponed a final decision on the form until after the large scale OCR test is completed.

INFORMATION TECHNOLOGY ACTIVITIES

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

Migration of Copyright Registration Record Data to the Voyager Integrated Library System

For the past twenty-five 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 Library scheduled the mainframe computer for retirement at the end of September 2005. 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.

The value of using Voyager is that it provides for much more flexible searching of Copyright Office records by keyword and for previously nonsearchable fields. Voyager will also hold all Copyright Office records in one database. Persons searching the Library's records will be using the same search tool for both bibliographic records and copyright records.

Through the continued collaboration of Library Services, the Catalog Distribution Service, CTO, and ITS, the Office made major progress on the conversion of Copyright Office records of registrations and recordations to the Voyager system. The Office refined specifications as anomalies were discovered in three rounds of conversion testing. The team involved in the migration worked primarily with a small database containing a representative sample of COPICS records. Starting in July, the team also had access to a fully loaded test database containing approximately twenty million converted copyright records.

In addition to the conversion effort, the Office designed a web-based online public access catalog to be used to search and display the records, and conducted training in use of the system for staff and several regular public users of Copyright records.

Copyright Office staff also collaborated with the information technology contractor to test the migration of data for registered claims from eCO 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.

The Office processed nearly 20,000 electronic claims in textual works and musical compositions through the system in FY 2005. The Office halted further development and testing of the CORDS system to redirect time to the creation of a new IT systems infrastructure that will incorporate electronic submission. The knowledge and

experience gained from the CORDS system were applied towards the design and development of the new web-based system.

Copyright Office In-process System (COINS)

The Office provided user support during the second year of processing under the new COINS system. Staff also collaborated with system users to design and develop several new reports. In addition to tracking claims and all other fee service requests, the system continued to be used to provide statistics on the workload and processing status. The eCO system will replace COINS when eCO goes into full production in 2007.

Copyright Imaging System (CIS)

The current version of the imaging system completed its second full year of processing. The eCO system will replace CIS when eCO goes into full production in 2007.

MANAGEMENT CONTROLS, SECURITY, 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 Year 2005, the Office conducted Vulnerability Assessments on its twenty-four management control modules and decided to perform control reviews for eight modules. There were several management letter findings. There are seventeen findings that remain open from previous years, virtually all of which will be closed upon completion of the reengineering project.

Security

The Office's initiatives stem from the Library of Congress Security Plan, security studies, and risk assessments. The Security Plan directly supports the Library's Strategic Plan and provides a comprehensive framework for Library-wide security-related initiatives, programs and activities.

In FY 2005, the Office reported a small number of items missing from the Copyright Office workflow process and a small cash fee loss. The Office tightened compliance with various procedures that provide reasonable assurance of security from loss.

Budget

The Copyright Office annually receives three appropriations from Congress: Basic, Licensing, and CARP. Total Fiscal Year 2005 Copyright Office budget authority was \$53,182,112 with a full time equivalent (FTE) staff ceiling of 530.

The Basic appropriation (\$46,738,080) funds the majority of the Offices activities. The Licensing budget activities (\$3,731,904) and the CARP budget activities (\$2,712,128) were fully funded from user fees withdrawn from royalty pools. The Office's Basic fund received \$3.6 million in new offsetting collections authority to support the facilities activities within the Reengineering Program. The total Basic appropriation derives its funding from two revenue sources: net appropriations from the U.S. Treasury (\$19,972,928 in Fiscal Year 2005) and offsetting collections authority from user fees (\$26,765,152). At the end of the fiscal year, the Office had applied \$23,788,227 in user fees and \$99,720 in Deposit Account interest to the appropriation.

Respectfully submitted to the Librarian of Congress by

MARYBETH PETERS

*Register of Copyrights and
Associate Librarian of Congress for Copyright Services*