

Licensing Division Reengineering Project

12/08/2010



Agenda

- I. Welcome and Introduction
- II. Project Goals
- III. Project Overview
- IV. Milestones
- V. Outreach
- VI. Electronic Signatures
- VII. Stakeholder Engagement
- VIII. Q & A



Welcome and Introduction

- “Pre-engineering”
 - Defeated a >2 year backlog
 - Open statements from all accounting periods cut from 1,100 to fewer than 400
 - Cradle to grave SOA handling improved by 25%
 - Intersectional efficiencies
 - Increased use of technology
 - Greater outreach



- The Re-engineering Team:
 - Members: Michele Chisholm, Robert Cummings, Carol Garrett, Ann McCray, Jessica Martin, Donna Thacker, Kathy Tsai
 - The guiding force of our re-engineering effort
 - Balance the demands of re-engineering with our regular work load
 - Tireless effort in service of our project



Stakeholder Concerns

- Statements of Account
 - Not user friendly
 - No validation of SOA accuracy upon submission
 - No confirmation of receipt
 - Difficulty tracking status of SOA
- Mail System – Delays And Difficulties
- Letters of Inquiry – Difficult To Track
- Amendments – Hard To Find
- Investigation And Retrieving Information – Takes Too Long
- Microfiche – Deterioration, Hard To Read



Stakeholder Needs

- User-friendly, consistent, repeatable experience e-filing of SOAs
- Case management – Everything will be connected
- Improved information storage and retrieval
 - Browser-based access
 - Fast and accurate search and retrieval
 - Improved quality of records
- Traceability between remittances and SOAs



Project Goals

- Improvement in Efficiency
 - Reducing the paper chase
 - Allowing Licensing personnel to focus on complex/high value activities
 - Streamlining Licensing operations and removing bottlenecks
 - Improving the communication interface with the stakeholders
 - Enabling the Licensing Division to be more responsive to your needs



Three Pronged Approach

- Improve business process following best practices and established methodologies
- Define and implement the enabling technical infrastructure
- Update our procedures and regulations as appropriate



Real Benefits

- Easier way for filing
- Faster and more convenient way to access the desired information on a timely basis
- Scalable technical infrastructure will support the revamped business process and its evolution
- State of the art business practices
 - Keeping up with the evolution of the industry and our supporting part in it



The Team

LOC effort

- Licensing Division taking the lead
- Active support from
 - The Office of the General Counsel,
 - Copyright Technology Office,
 - LOC IT services, and
- Horizon Industries, who is charged with
 - Guiding us through the Business Process improvement program
 - Helping us identify the desired technical infrastructure and implementing it
 - Ensuring that YOUR needs are included in defining the future



Reengineering Partner

- Horizon Industries, Ltd. (www.hil.us)
 - Outstanding supplier of re-engineering services
 - Founded 1996 - Headquartered in Vienna, Virginia
 - Great success with numerous agencies, including DoD Business Transformation Agency, DoD Defense Logistics Agency, Food and Drug Administration, and Department of Justice
 - Known for its ability to solve complex process issues using less expensive Commercial Off The Shelf (COTS) software packages



Project Overview

Business Transformation

- Organizational Assessment
- Benchmarking
- Goal-Setting
- New Work Processes
- Staffing Alignment
- Performance Management

Automation of New Work Processes

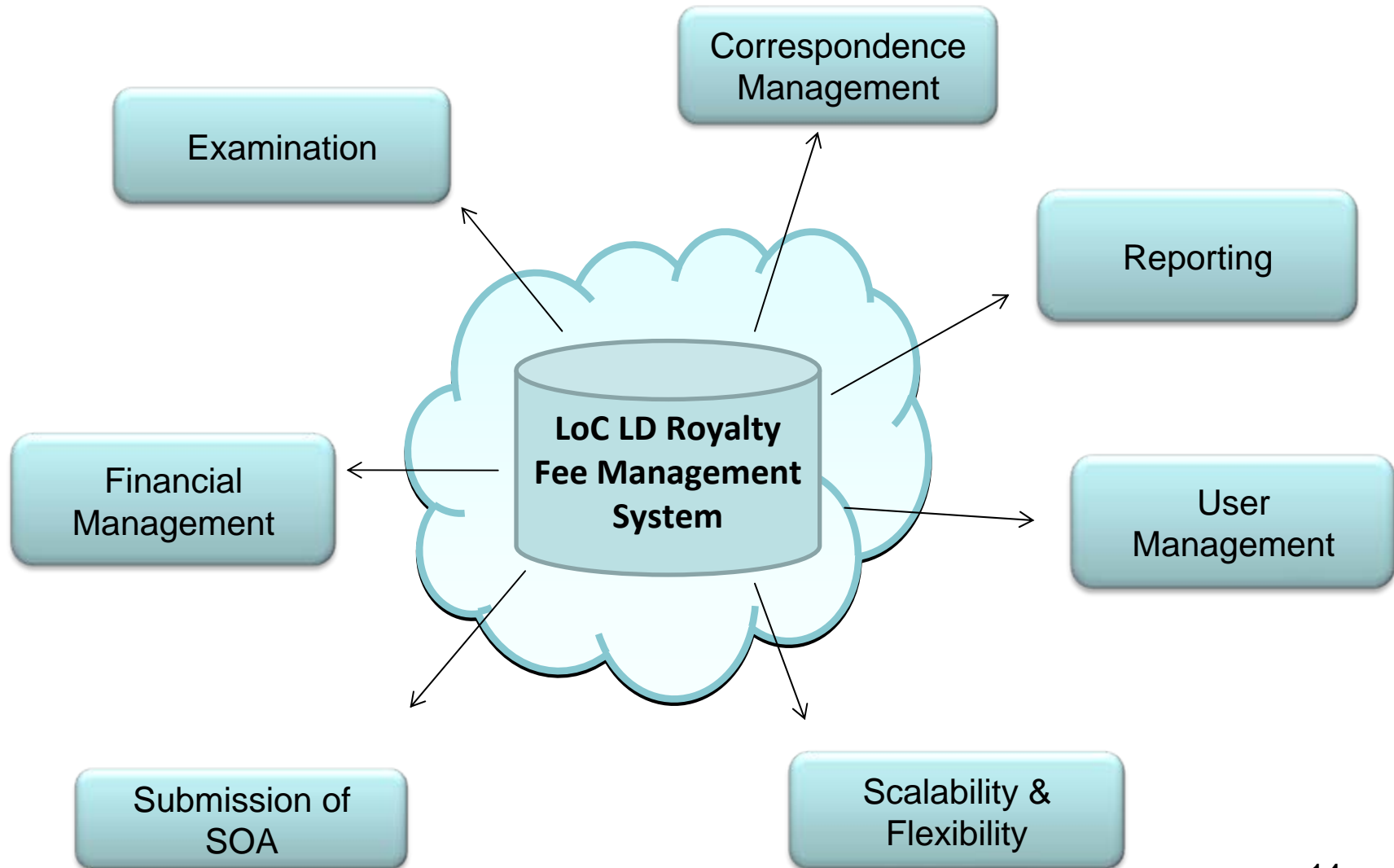
- Define To-Be System Requirements
- COTS Selection Process
- Design, Configure & Test To-Be System
- Implementation & Training Planning



NOTES Continued from Slide #12



Conceptual Model





New System Features

- Electronic submission of statements of account
 - **Online forms**
 - **Context-sensitive support**
- Financial management
 - **Payment linked to statements of account**
 - **Transactions tracked electronically within system**
- Automate support to examination
 - **Automate mundane tasks**
 - **Streamlined examination**
- Correspondence management
 - **Complete log of electronic and paper-based communications**
- Detailed reporting
 - **Expand reporting capabilities**
 - **Searchable database**
- User management
 - **User case management system with permissions according to business function**
- Scalability & flexibility
 - **Business rules flexible according to fluctuating business environment**

Submission of
SOA

Financial
Management

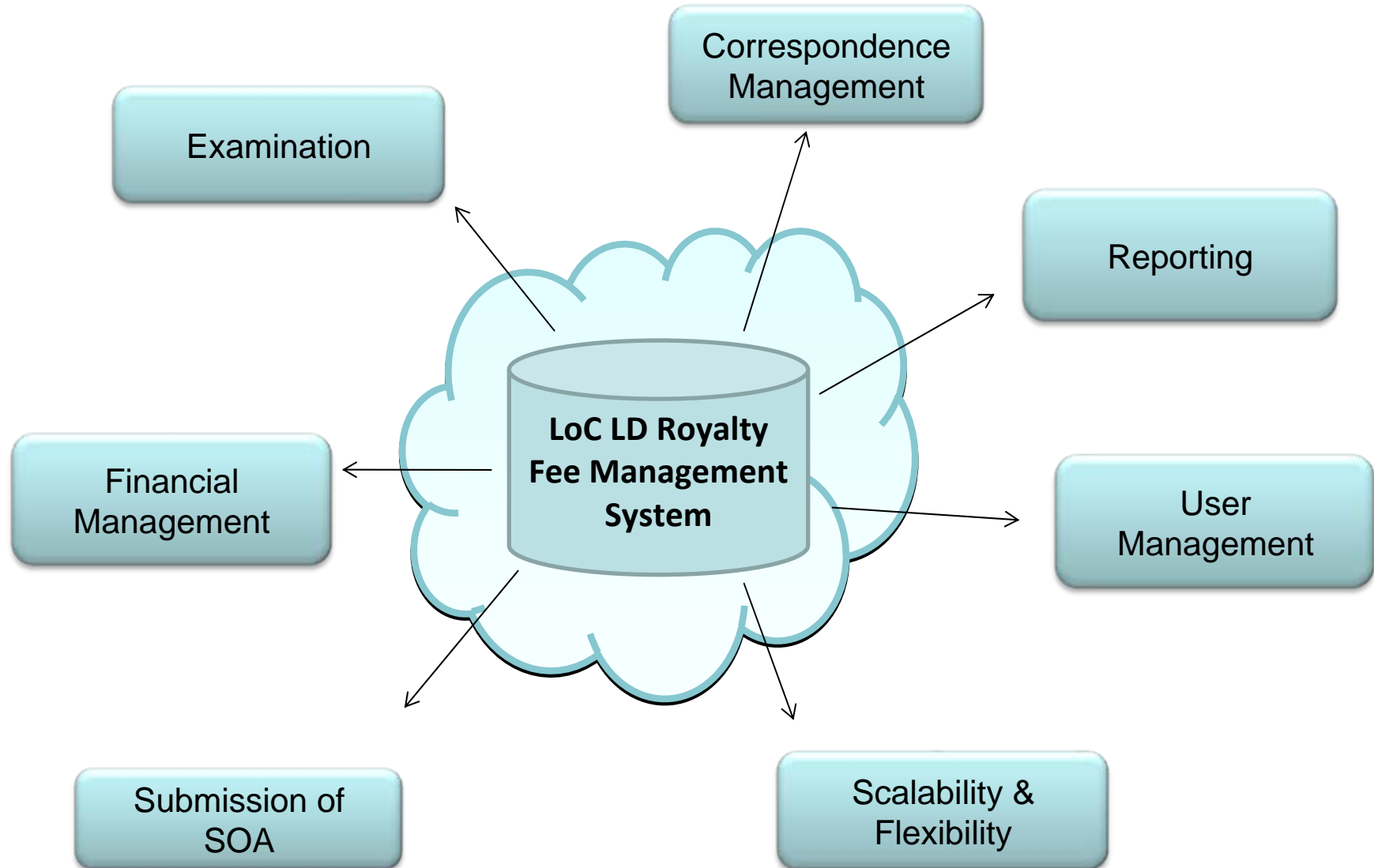
Examination

Correspondence
Management

Reporting

User Management

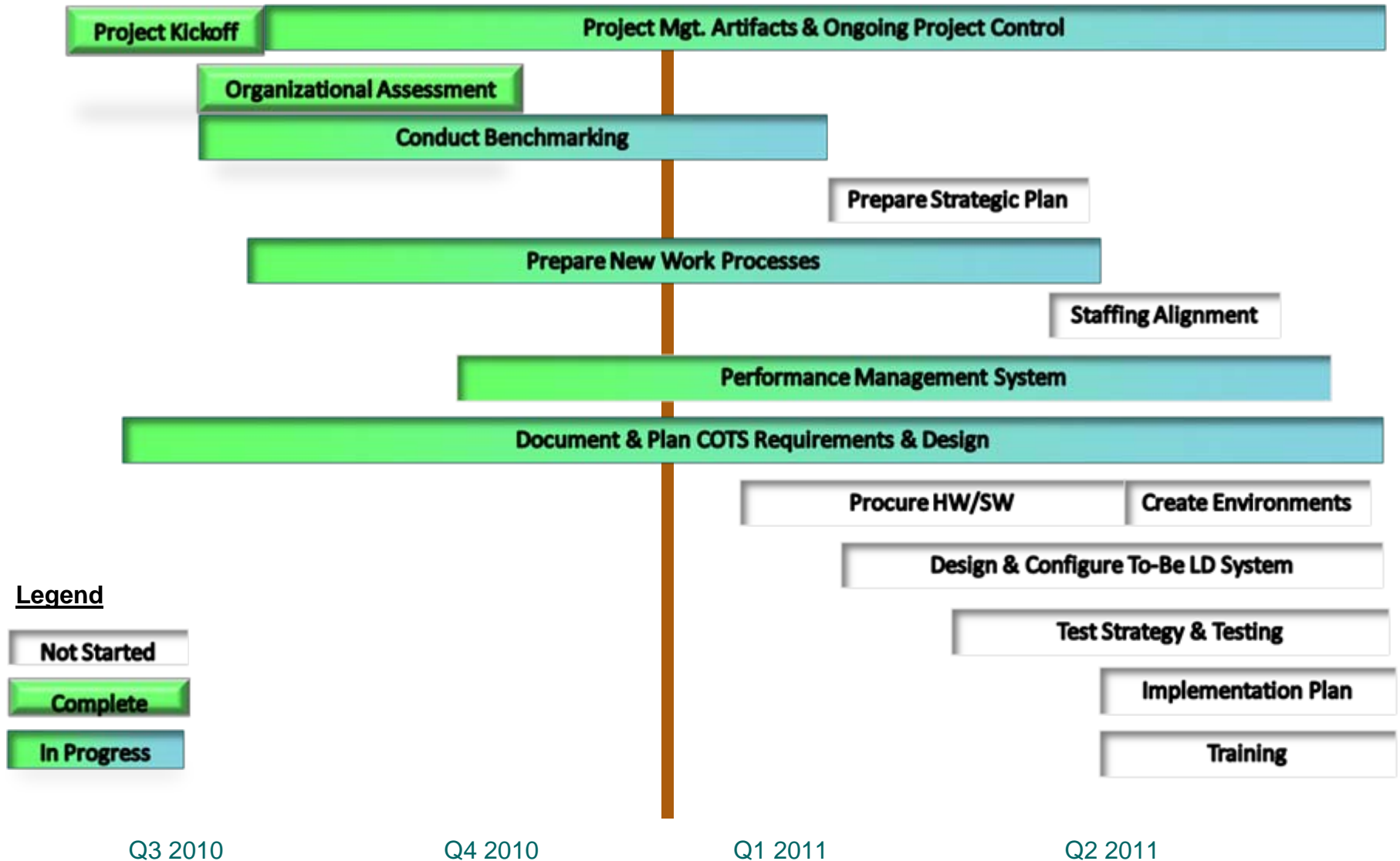
Scalability &
Flexibility



Licensing Division Reengineering Project



Project Schedule





Milestones

Recently Completed Milestones

- Organizational Assessment
- RFI published to potential vendors

Upcoming Milestones

- Benchmark Study
- Performance Management
- System requirements and software selection
- System design



Upcoming Stakeholder Milestones

- Stakeholder survey
- Benchmarking partnership
- Requirements definition
- User acceptance testing
- Training planning
- Implementation planning



Outreach

Developed a team exclusively to handle communication to the licensing community

Objectives

- Consistent and interactive communication
- Proactive and pre-emptive outreach
- Ease transition from paper to electronic filings
- Create efficiencies for all parties



Communication/Frequency

- Web site www.copyright.gov/licensing
- e-blasts via Licensing Division or Newsnet
- E-mail licensing@loc.gov
- Surveys
- Face-to-face meetings



Electronic Signature

- Taking steps to implement “digital signatures” for online Statements of Account.
- Making it work: the operational challenges of moving from a handwritten verification system to an electronic verification system.
- Making it legal: The importance of certification of the Statement of Account to prevent fraud and abuse.
- Making it easy for users: Creating a secure system that is simple to use with confidence.
- Making it right: Requires feedback from stakeholders to ensure efficiency and reliability.



Questions

- What level of authentication is needed in light of a certification requirement made by the owner/partner/official filing the SOA online?
- Should the regulations still require the owner, partner or officer to sign the SOA and make a declaration as to the veracity of the facts reported?
- What are the costs and benefits of the different types of digital signatures?
- What are the best practices of other Federal agencies that use digital signatures?



Stakeholder Engagement

- Stakeholder survey
- Benchmarking partnership
- Requirements definition
- User acceptance testing
- Training planning
- Implementation planning
- Ongoing communication
- Electronic signatures
- Next Stakeholder Briefing



Question & Answer