Licensing Division Reengineering Project

Requirements Workshop
Copyright Filers
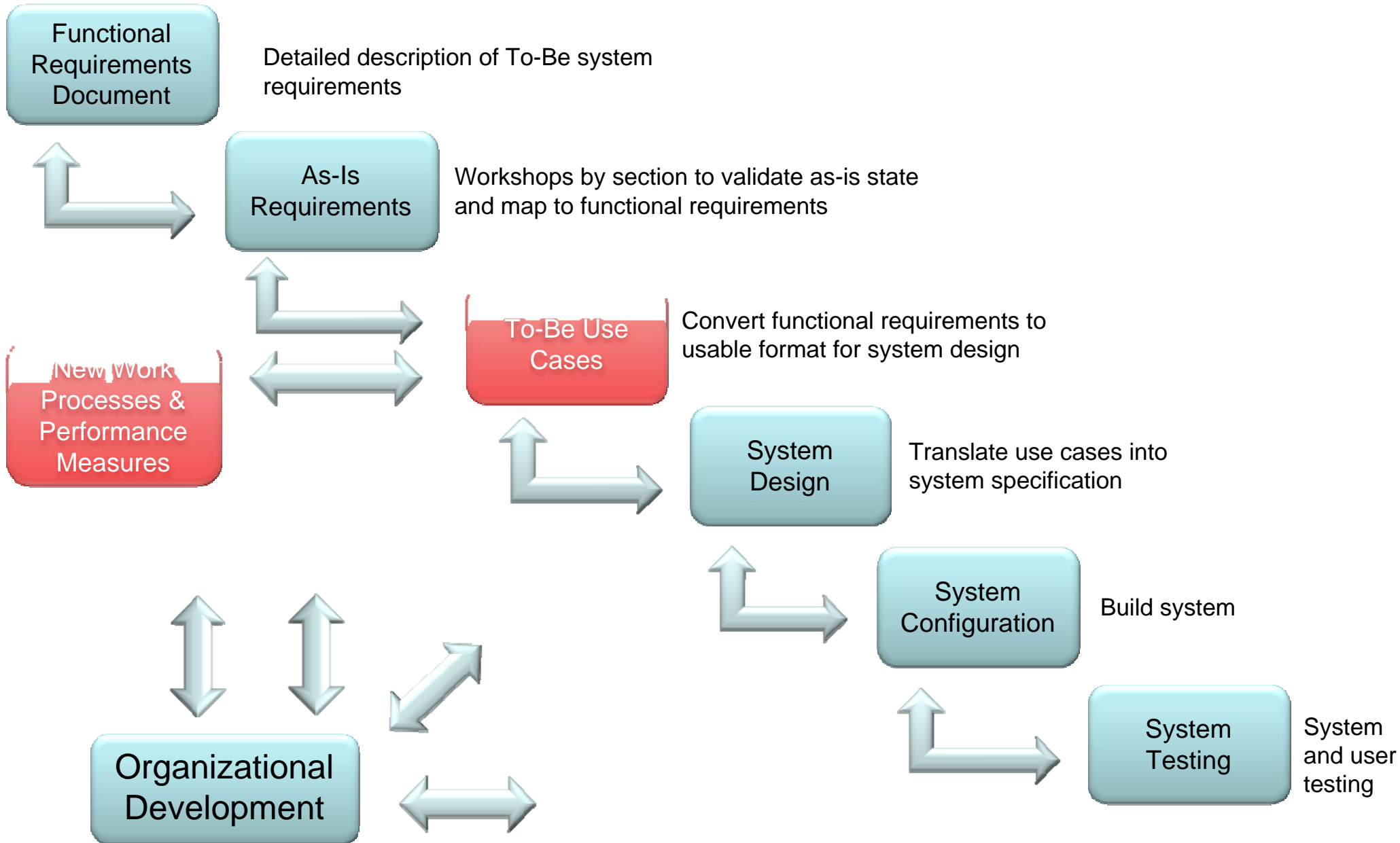
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Copyright
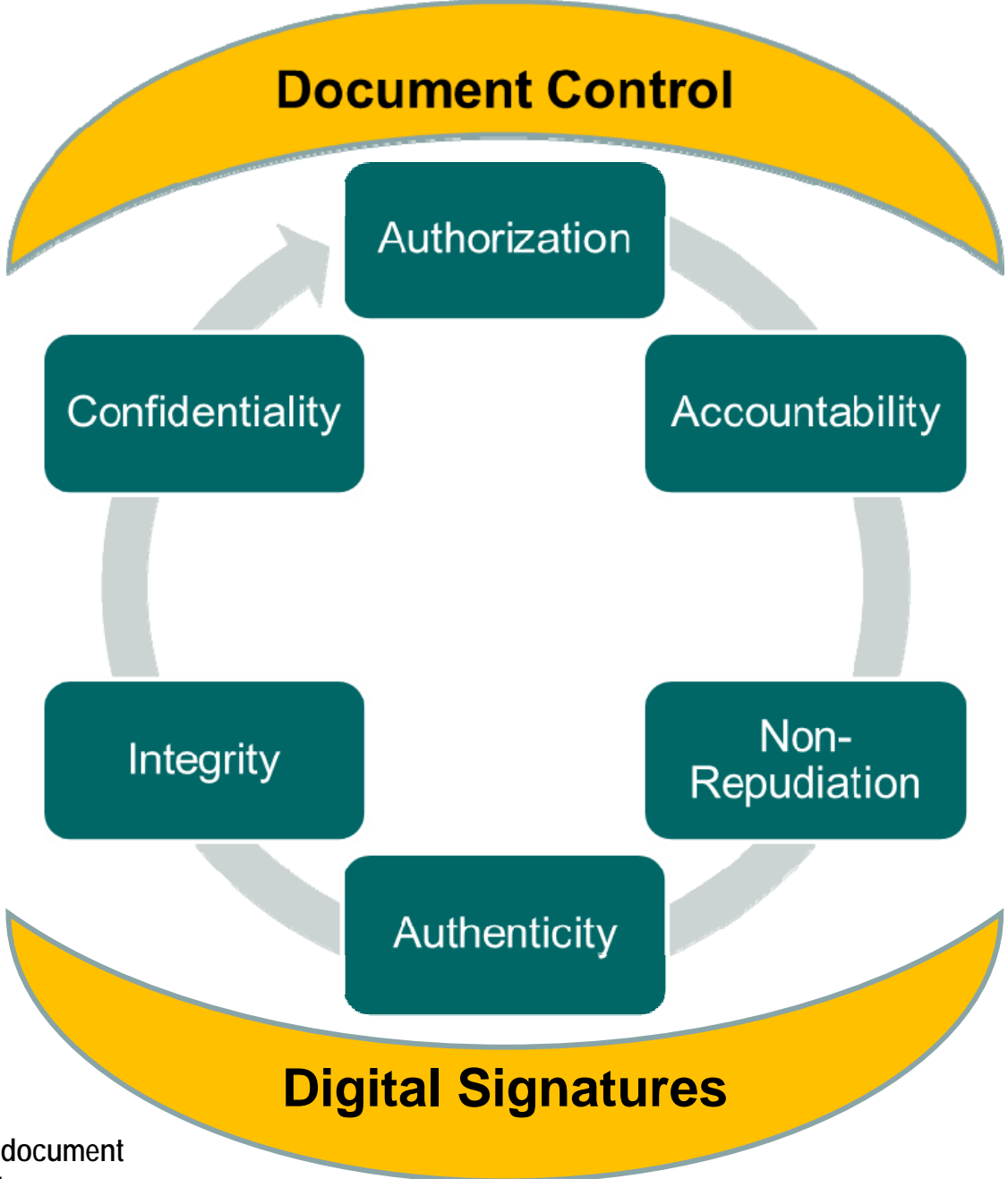United States Copyright Office

Agenda

- Welcome and introductions

- Project stage status

- To-Be system discussion

  - Certification of documents (digital signature)

  - Conceptual model - To-Be System

  - Requirements gathering – Use Cases

- Project next steps

- Copyright filer's next steps

- Q & A

Project Stage

Functional Requirements Document

Detailed description of To-Be system requirements

As-Is Requirements

Workshops by section to validate as-is state and map to functional requirements

New Work Processes & Performance Measures

To-Be Use Cases

Convert functional requirements to usable format for system design

System Design

Translate use cases into system specification

System Configuration

Build system

Organizational Development

System Testing

System and user testing

Digital Signature and Document Security

Document Control

Authorization

Accountability

Confidentiality

Non-Repudiation

Integrity

Authenticity

Digital Signatures

E-Signature Technology Options

Option	Initial Cost	Support Cost	Deployment	Security
SMS	Low	Low	Easy	High
Virtual Token	Medium	Low	Easy	Very High
Biometric	High	Medium	Medium	High Error Rate
Smart Cards	Medium	Medium	Medium	Vulnerable (1)
USB Token	High	Medium	Easy	Vulnerable (1)
Digital Certificates	Medium	High	High	High
Tokens/Fobs	High	High	Easy	Vulnerable (1)

Notes: (1) Vulnerable to Theft, Loss or Fraud
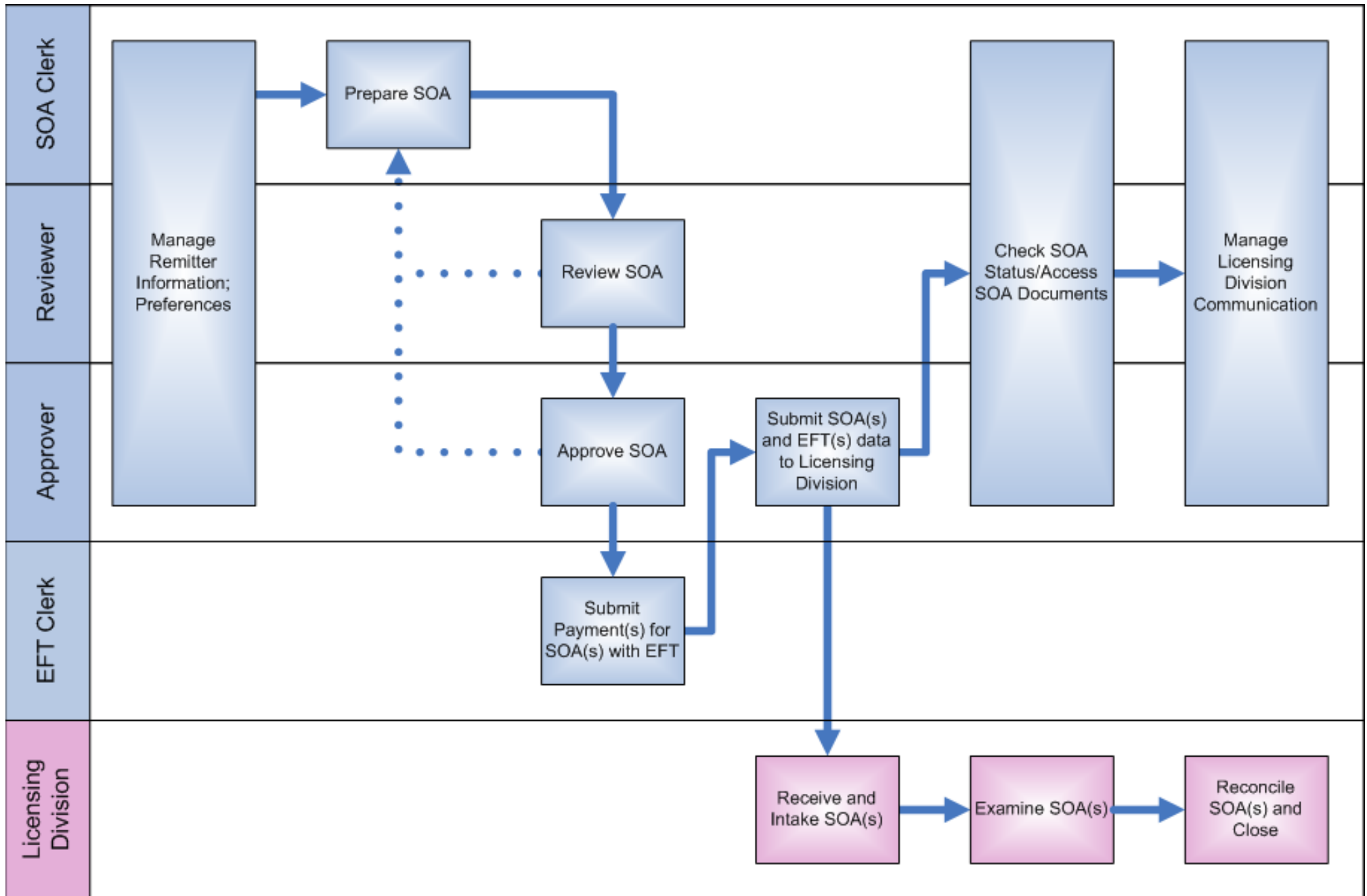
SOA Lifecycle Timeline

Conceptual To-Be System

SOA Clerk

Prepare SOA

Reviewer

Manage Remitter Information; Preferences

Review SOA

Check SOA Status/Access SOA Documents

Manage Licensing Division Communication

Approver

Approve SOA

Submit SOA(s) and EFT(s) data to Licensing Division

EFT Clerk

Submit Payment(s) for SOA(s) with EFT

Licensing Division

Receive and Intake SOA(s)

Examine SOA(s)

Reconcile SOA(s) and Close
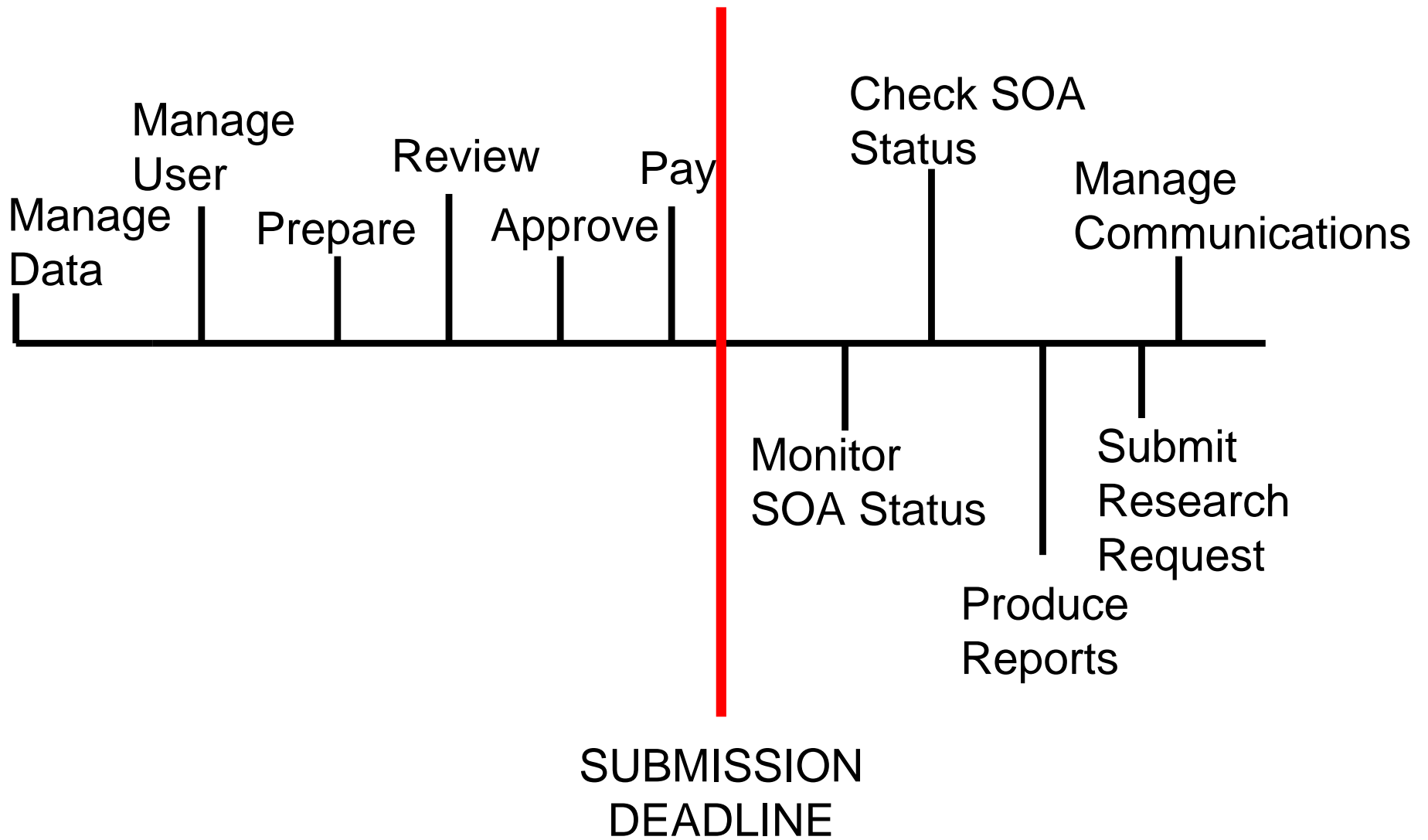
1. Filers may be able to be submit SOAs electronically using a web portal.

2. Filers may be able to sign SOAs using an electronic signature process.

3. Filers may be able to submit royalty payments using EFT only; the system may be able to match EFTs to SOAs.

4. Filers may be able to view the status of financial transactions online.

5. Filers may be able to receive and respond to system generated reminders and LD staff generated correspondence using the LD web portal.

6. The system may prepopulate SOA information from a previous accounting period; Filers may be able to make adjustments for the next accounting period and submit as a new SOA.
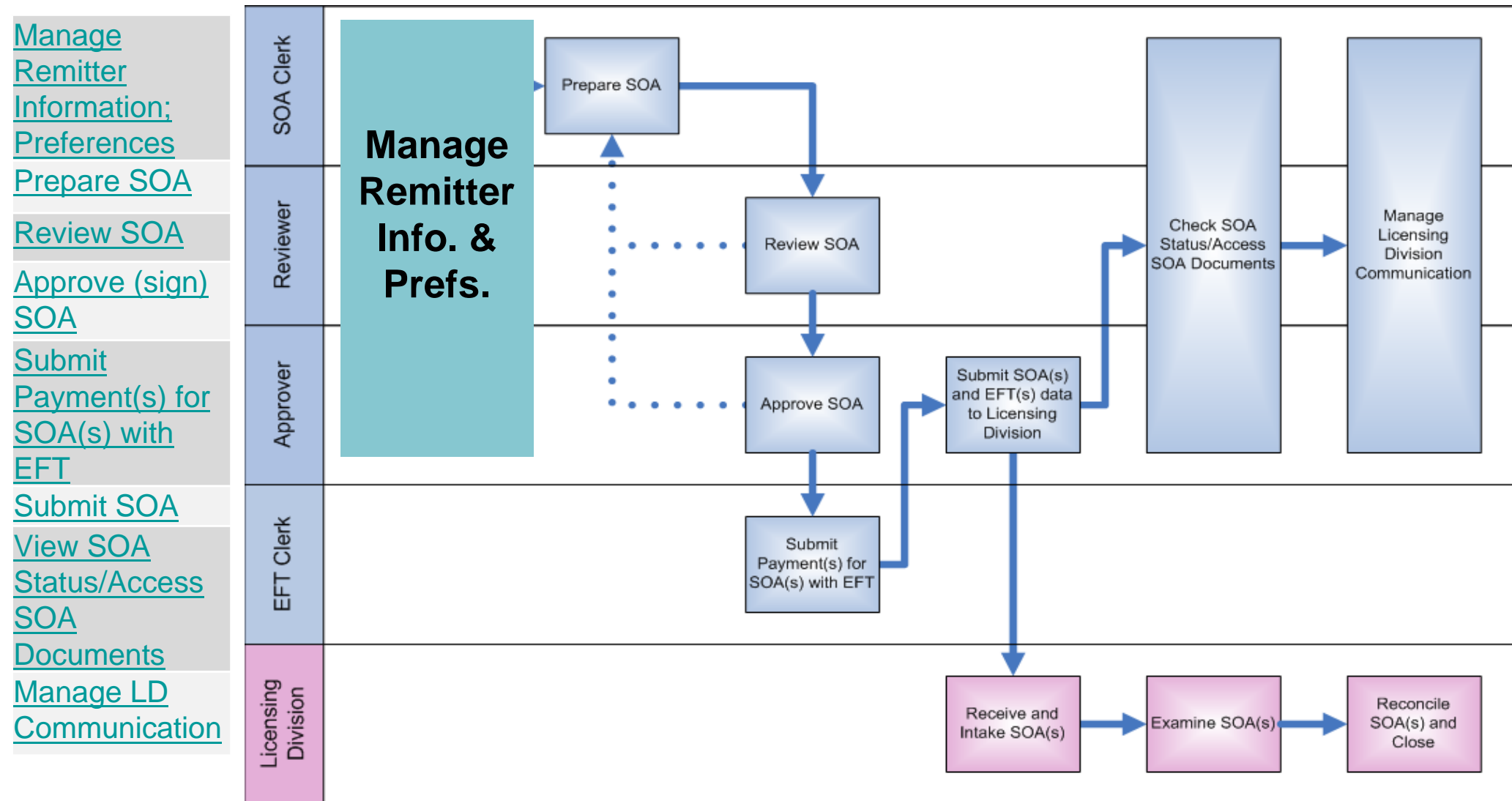
Questions for Filers

1. What do you wish to see on subsequent e-filings after the first e-submission is made? (What fields should the new LD system prepopulate?) When should the system automatically provide data or make calculations?

2. Will a Filer be able to override the LD automated functions? What alerts/notices should the Filer receive when overriding these functions?

3. How well does the current refund process work? What changes would Filers like to see in the new LD system?

4. What additional information or analysis capabilities would Filers like to see regarding investments?

5. What customer service functions should the new LD system have? How would you like to be able to get help (context sensitive, knowledge base, online chat, etc.)
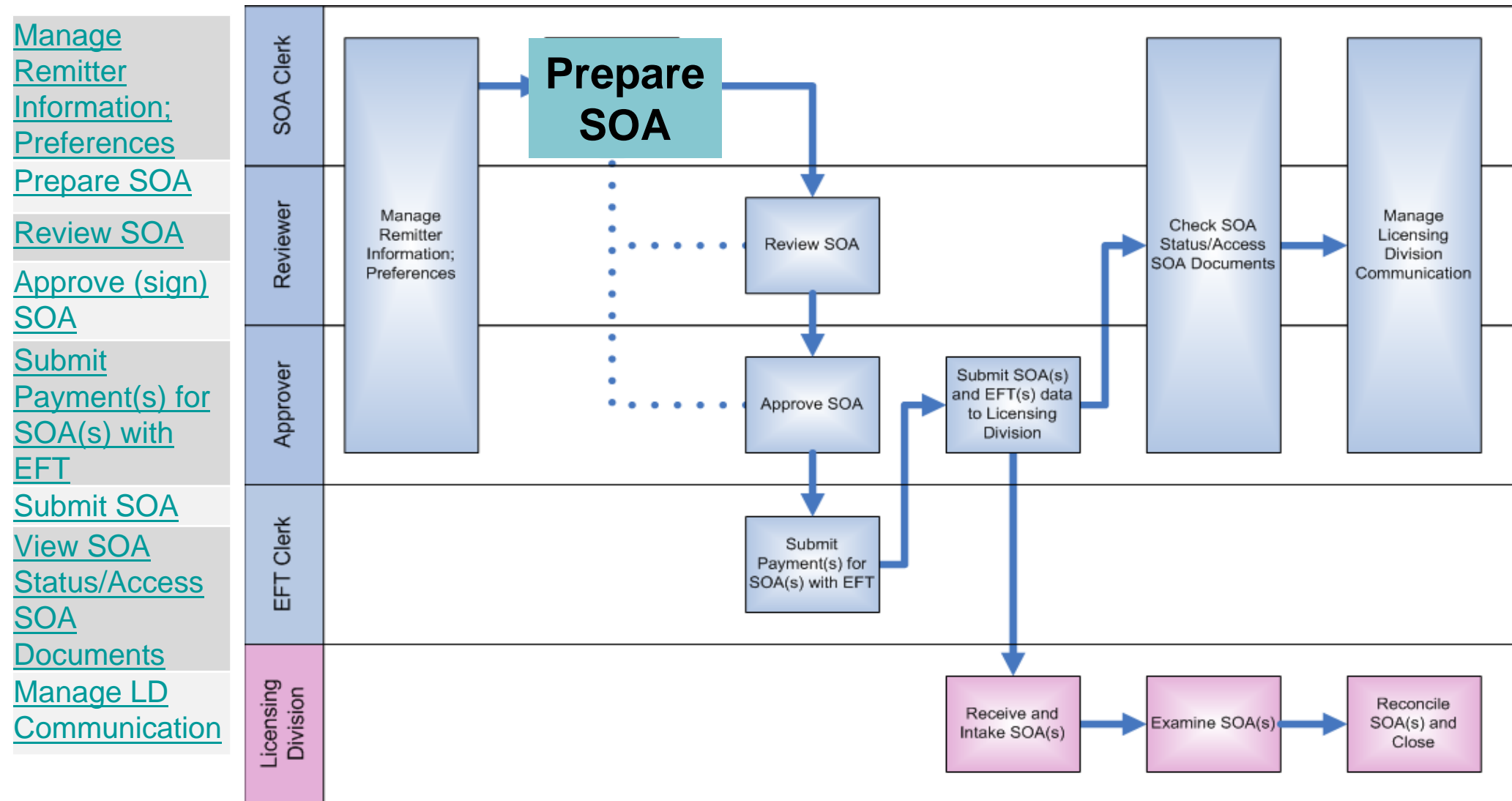
Conceptual To-Be System

Manage Remitter Information; Preferences
Prepare SOA

Review SOA

Approve (sign) SOA

Submit Payment(s) for SOA(s) with EFT

Submit SOA

View SOA Status/Access SOA Documents

Manage LD Communication

Manage Remitter Info. & Prefs.

| SOA Clerk | Reviewer | Approver | EFT Clerk | Licensing Division |

- Prepare SOA
- Review SOA
- Approve SOA
- Submit Payment(s) for SOA(s) with EFT
- Submit SOA(s) and EFT(s) data to Licensing Division
- Check SOA Status/Access SOA Documents
- Manage Licensing Division Communication
- Receive and Intake SOA(s)
- Examine SOA(s)
- Reconcile SOA(s) and Close

Manage Remitter Information; Preferences
This process begins when a remitter reviews and updates remitter information and user preferences related to the preparation and filing of SOAs.
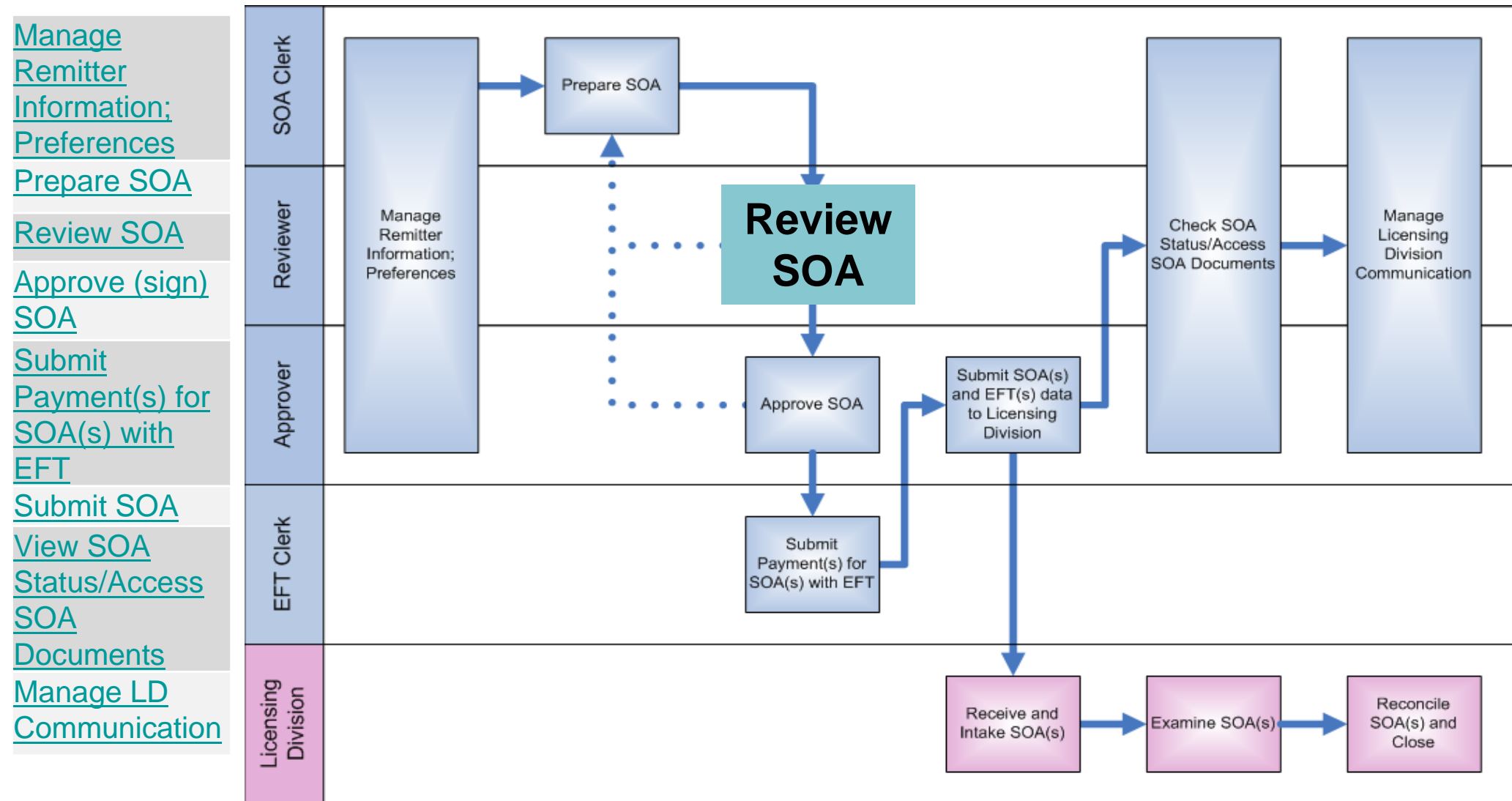
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Conceptual To-Be System

Manage Remitter Information; Preferences
Prepare SOA

Review SOA

Approve (sign) SOA

Submit Payment(s) for SOA(s) with EFT

Submit SOA
View SOA Status/Access SOA Documents

Manage LD Communication

SOA Clerk

Prepare SOA

Reviewer

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Licensing Division

Receive and Intake SOA(s)

Examine SOA(s)

Reconcile SOA(s) and Close

Prepare SOA

This process begins when a remitter begins the process to submit an SOA to the LD. This involves filling out the required fields on the required form(s).
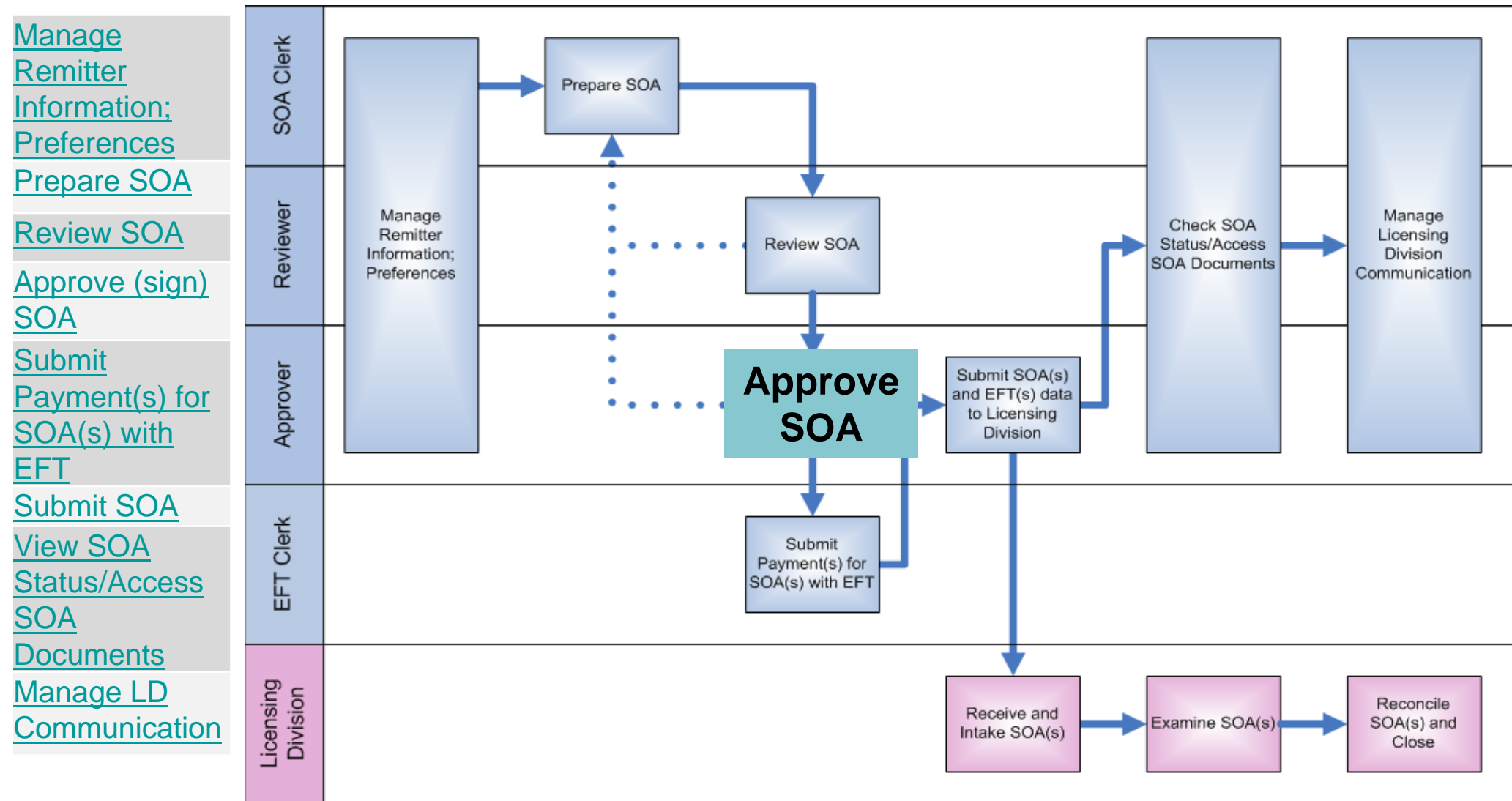
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Conceptual To-Be System

Navigation list:
- Manage Remitter Information; Preferences
- Prepare SOA
- Review SOA
- Approve (sign) SOA
- Submit Payment(s) for SOA(s) with EFT
- Submit SOA
- View SOA Status/Access SOA Documents
- Manage LD Communication

Swimlanes and process boxes:

SOA Clerk: Prepare SOA

Reviewer: Manage Remitter Information; Preferences | Review SOA

Approver: Approve SOA | Submit SOA(s) and EFT(s) data to Licensing Division | Check SOA Status/Access SOA Documents | Manage Licensing Division Communication

EFT Clerk: Submit Payment(s) for SOA(s) with EFT

Licensing Division: Receive and Intake SOA(s) → Examine SOA(s) → Reconcile SOA(s) and Close

Review SOA

This process begins when a SOA has been provisionally completed and must be reviewed before passing on to an approver. The reviewer validates the work of the clerk to ensure that the information is correct.
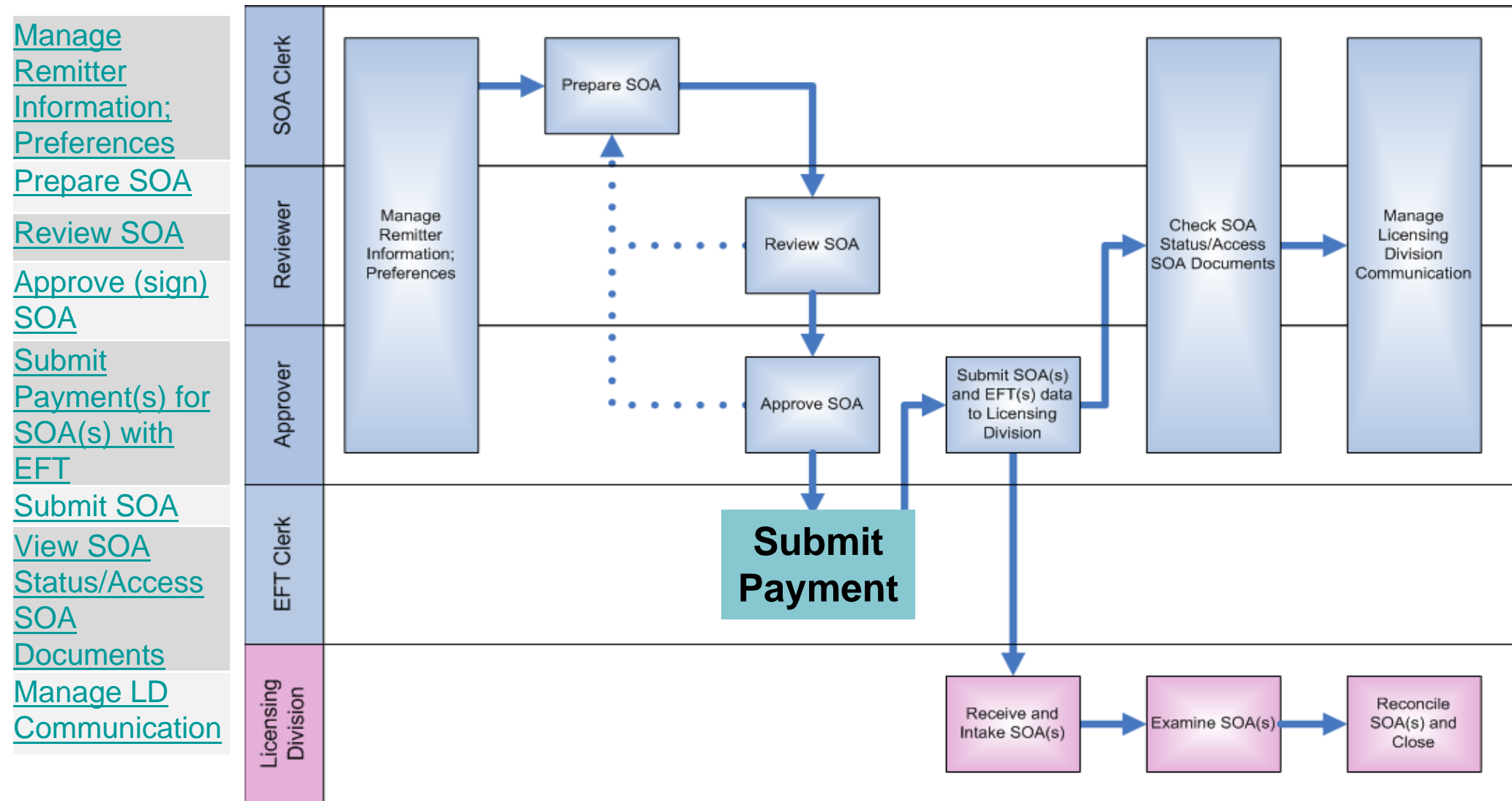
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Conceptual To-Be System

Manage Remitter Information; Preferences
Prepare SOA
Review SOA
Approve (sign) SOA
Submit Payment(s) for SOA(s) with EFT
Submit SOA
View SOA Status/Access SOA Documents
Manage LD Communication

Approve SOA
This process begins when an SOA has been reviewed and found to be correct. The approver has a final opportunity to validate the SOA.
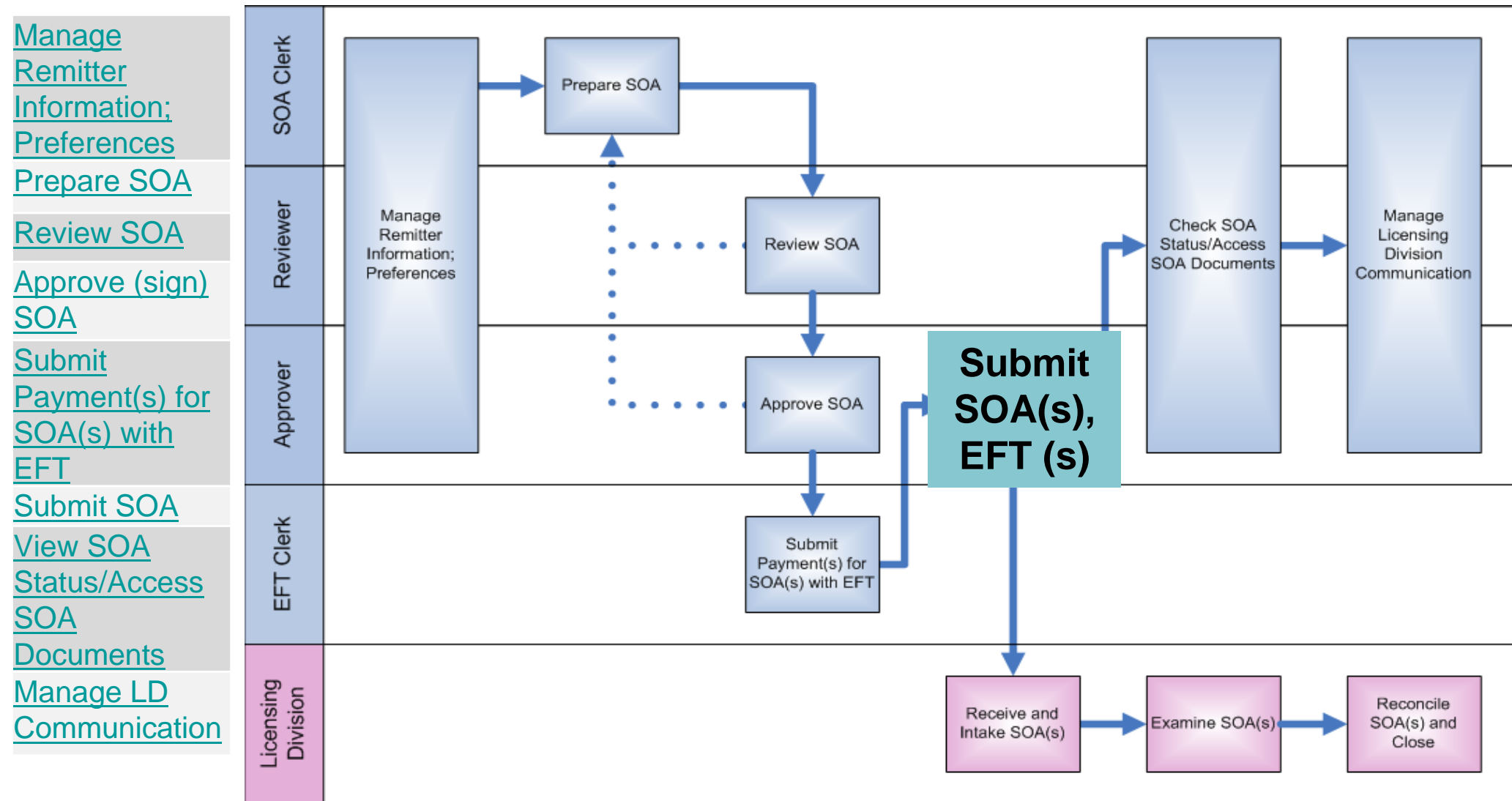
Conceptual To-Be System

Navigation links (left sidebar):
- Manage Remitter Information; Preferences
- Prepare SOA
- Review SOA
- Approve (sign) SOA
- Submit Payment(s) for SOA(s) with EFT
- Submit SOA
- View SOA Status/Access SOA Documents
- Manage LD Communication

Diagram swimlanes and boxes:

SOA Clerk: Prepare SOA

Reviewer: Manage Remitter Information; Preferences | Review SOA

Approver: Approve SOA | Submit SOA(s) and EFT(s) data to Licensing Division | Check SOA Status/Access SOA Documents | Manage Licensing Division Communication

EFT Clerk: Submit Payment

Licensing Division: Receive and Intake SOA(s) → Examine SOA(s) → Reconcile SOA(s) and Close

Submit Payments for SOA(s) with EFT(s)
This process begins when an SOA has been approved and the associated royalty is ready to be paid. The filer's EFT contact person processes the EFT and submits it to the Approver for delivery to the Licensing Division.
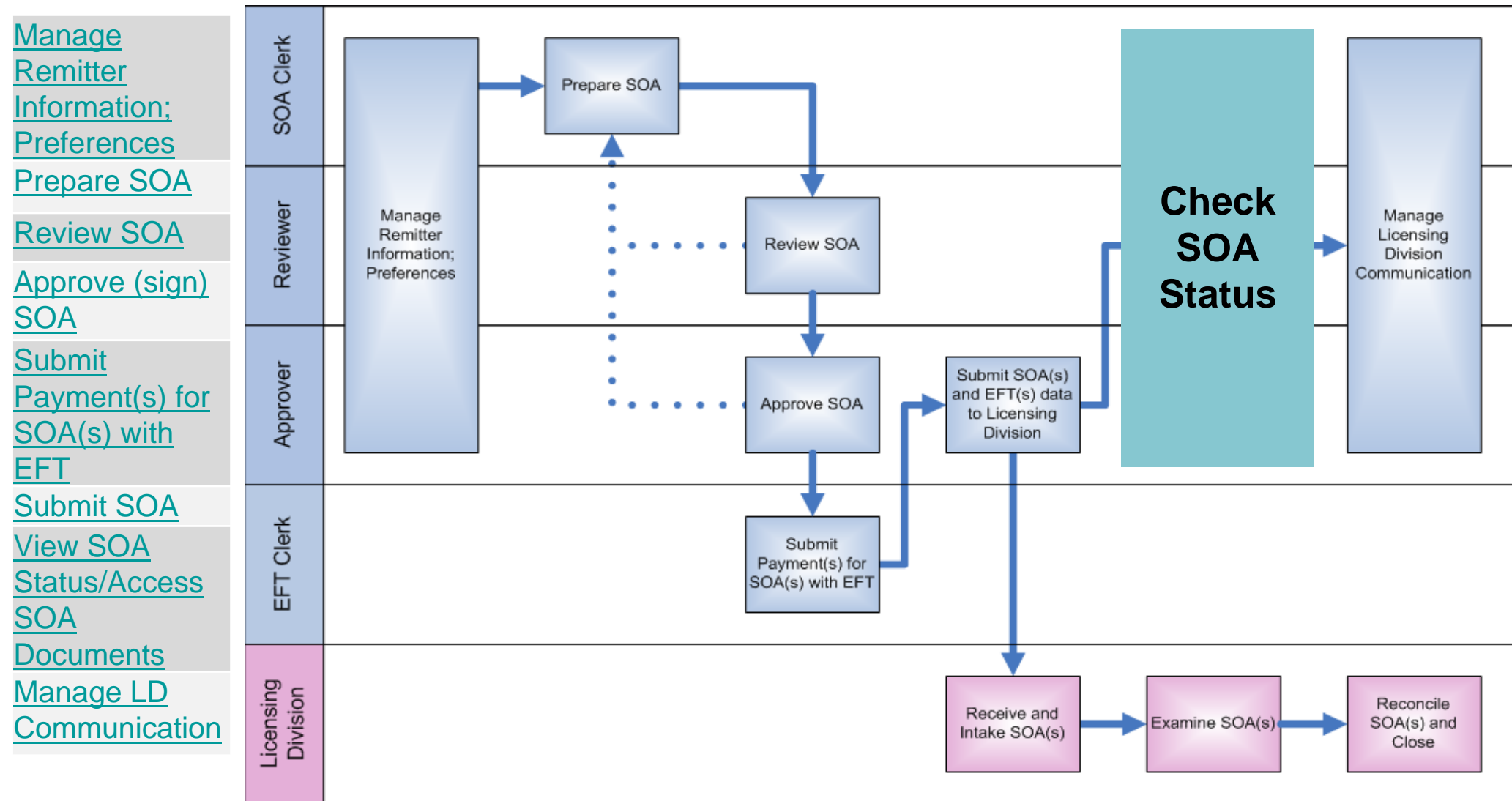
Conceptual To-Be System

Submit SOA(s) and EFT(s) data to LD

This process begins when the approver has approved an SOA and submits the SOA to the LD.
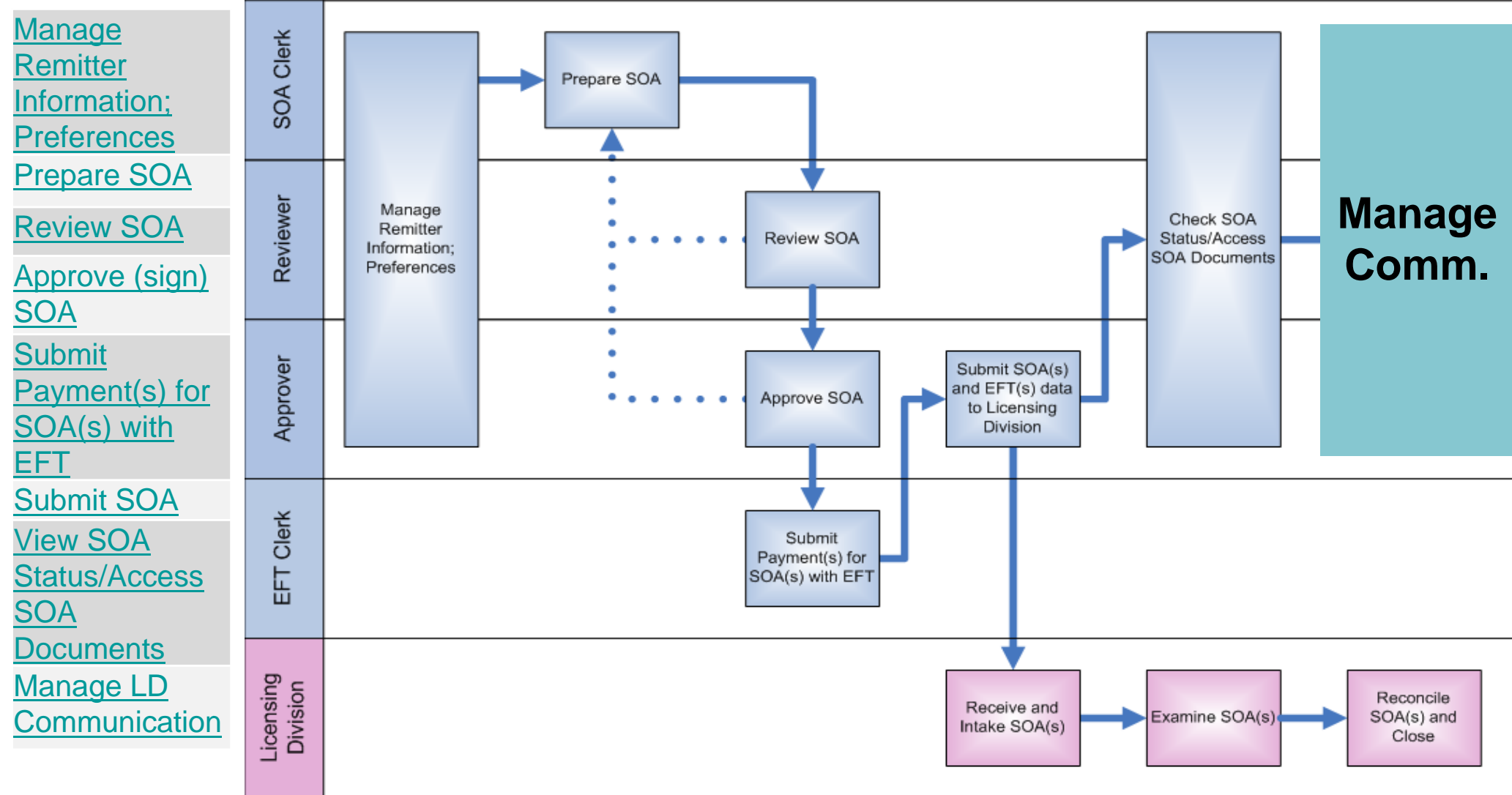
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Conceptual To-Be System

Check SOA Status/Access SOA Documents

This process begins when an approver accesses the LD system to review the status of an SOA or an SOA amendment. The approver may also receive copies of documents (cover letter, SOA, and customer communications) submitted as part of an SOA.

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Conceptual To-Be System

Manage Licensing Division Communication

   This process begins when a remitter accesses the LD system to communicate with the LD staff by receiving, sending or responding to secure messages.

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Copyright Filers Next Steps

1. Identify (email list to LoC) and share workshop discussions with your company's executives, managers, security, and staff responsible for:

   i. Completing and submitting SOAs

   ii. Remitting and managing royalty fee payments

   iii. Defining legal and technical e-signature requirements

2. Prepare to respond to a Copyright Office Notice of Proposed Rulemaking on digital signatures.

Questions & Answers (Q&A)

The questions discussed during the Copyright Filer's Workshop on February 14, 2011, and the answers to those questions, will be provided under separate slide.

Requirements Notes

The functional and business requirements garnered from the workshop discussions will be provided under separate slide.