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ID	Date Identified	Title	Requirements Requested Description	Rationale and Notes	Status
48	6/3/2011	SOA Preparation	A procedures manual to understand the LD expectations with regard to a SOA completion.	The LD is planning on creating procedures manuals for the online system.	In Review
49	6/3/2011	SOA Preparation	The remitters would like the size of an organization to help determine the amount of people that have ownership of the SOA process.	The size of the organization should determine the amount of people who have ownership of the SOA process within organizations, with smaller organizations having fewer people involved in the process. Larger organizations may have at least two people working to prepare the SOA while small organizations may have one. Middle sized organizations may go either way.	In Review
50	6/3/2011	SOA Submission	External service providers should have their own internal and formal policies for protecting client information.	The external service providers usually have expertise in the area due to having multiple clients with similar needs.	In Review
51	6/3/2011	Role Access	A 'super-user' role and an 'approver' role for validation and submission of filings should be created.	There is a concern that the LD's role in oversight may be too large, especially if these roles are implemented. There may be situations where either the parent or the subsidiary signs the forms (e.g., decentralized cable systems) which may affect the number of super-users and signatories.	In Review
52	6/3/2011	Communication	Remitters asked: Will the LD convert and replace the microfiche archiving system by digitizing all cable microfilm records since 1978?	This request is being reviewed.	In Review
53	6/3/2011	Privacy	A cable company's information should not be made available to the public or the Library of Congress prior to final submission. Information about public online searches (i.e., who searched what data or reports) should not be made available to the public or the Library of Congress.	The remitters want to ensure confidentiality and integrity of filings, mergers and acquisitions (e.g., a buyer should not have access to the seller's pre-merger information), and owners want their searches to be confidential. Owners asked if their online searches (either at the data field level or report level) would be subject to a Freedom of Information Act request. Tentatively, the Library's IT group indicated that the public nor the Library would know the particulars of the search. However, the Library would need to know who accessed the public database pursuant to IT security directives without knowing the data gleaned. A formal IT security review will need to be performed for the new system.	In Review
54	6/3/2011	Fail Safe Plan	A fail-safe plan be implemented in the case of employee turnover/unavailability.	The fail safe plan pertains to remitter staff turnover/unavailability during the SOA preparation.	In Review
55	6/3/2011	Need for Interim Solution	An interim solution has been suggested in lieu of the Gralin form.	The Office is reviewing the proposal for an interim solution.	In Review
56	6/3/2011	Education	Online long form tutorial to address common mistakes.	There is currently a short form tutorial online to specifically address common mistakes by filers. These mistakes were identified by the examiners. There is currently a team in place to create a similar online tutorial for the long form.	In Review
57	6/3/2011	Report	New Grandfather Report	A historical report on grandfathered stations/call signs.	In Review
58	6/3/2011	Extended Filing Period	Extended filing period for the first submission.	Due to the possibility of confusion during the first submission, an extended filing period was requested to help with the transition to the To-Be system. The ease of use for smaller companies is also a concern. If the system does not work properly the first time there may be resistance in using it in the future. Filers want a very flexible version of the forms, as well as the flexibility for the To-Be system to not restrict SOA submissions by authenticating a desktop or laptop.	In Review
59	6/3/2011	E-signature Usage	E-signatures may be used to validate who is submitting the final form.	The Copyright Office anticipates publishing a Notice of Proposed Rulemaking in the Federal Register regarding electronic signatures.	In Review
60	6/3/2011	Survey Cable Companies	A survey of the cable companies was requested to be conducted.	The results of the survey may be used to better understand their needs and draw requirements.	In Review
61	6/3/2011	FCC e-Filing System	The FCC e-filing system may provide insight and guidance to aid in implementing this new system.	The LD may consider the FCC e-filing system as a benchmarking partner.	In Review

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62	6/3/2011	Simplified Flow Chart Analysis	A simplified flow chart analysis will make requirements gathering a bit easier.	This is being planned for presentation to the cable companies when the requirements are approved.	In Review
63a	6/3/2011	Red Flag System	It is recommended by the owners the system have red flags which indicate field information validity and help provide for meaningful certification.	A flag, as discussed during the workshop may be an alert, triggered before or after a SOA is submitted that occurs when a cable operator, for example, makes a designation of a station as 'local' or 'distant' and that designation disagrees with the designation on a recent filing (e.g., local in 2013/1 filing and on the 2013/2 designates the station as distant). Specific requests included: • The red flag log should be accessible and clearly displayed to the Approver and the Certifier before the actual electronic signature occurs. • Creation of an Errata report for LD to notify of red flags is recommended to assist the examining section with their evaluations. • A summary report to list all certified SOAs submitted with red flags. • Summary of alerts/flags upon e-signing/certification (e.g., signer acknowledges digitally signing the document knowing that flags existed). CONTINUED BELOW	In Review
63b	6/3/2011	Red Flag System	Will there be Red Flags implemented for the above stated reasons?	**Some flag types may include:** • Filer level pre-submission. • Owner report level pre- and post-submission. • Licensing examiner report level during internal review. o 50% change (or another percentage threshold % change) for a gross receipts change in Space K across accounting periods. o Station types in Space G (e.g., network vs. independent). o Space K gross receipts aggregate amount versus the total of all individual amounts from subscriber groups' gross receipts. o When multiple previous SOA filings are combined into one filing in a subsequent accounting period, and vice-versa. o Disagreements between the examiner and the operator post-examination. o No reply correspondence. o Summary change report when operators over-ride the system in particular data fields.	In Review
64	6/3/2011	Document Review	Verification that the signer of the document has actually read the document.	Owners mentioned a concern that the person digitally signing the document many times currently may not read and verify the e-SOA data entered by others in their cable company.	In Review
65	6/3/2011	Report	Summary change report is requested to provide a means to review input changes between filing periods.	For example, if the gross receipts figure changes by 50% (decrease or increase), or if a television signal reported for years as distant becomes local, a system alert and report should ensue.	In Review
66	6/3/2011	Mock Up Area	A request by the owners to create a "Mock Up" area not tied to a Case ID to assist the filers, owners, and data-gathering firms with the calculations and assist with some of their own SOA what-if analysis.	Dependent on the features and functionality available on the COTS solution selected the requested mock up forms may be saved to their local machines but not stored on LD environment with access restricted to the logged in user. In addition to use by owners, the mock up area may be used as a precursor to the actual execution of the e-SOA by remitters and electronically signed and submitted.	In Review
67	6/3/2011	Global Cross Check Functionality	Ability to see which filers regard a signal as independently owned and to check this against those who claim otherwise on their forms.	A discrepancy should trigger a red flag if all but one filer reports a station as Independently owned versus Network.	In Review
68	6/3/2011	Data Element Availability	The owners prefer that all data elements be available to the public.	Currently only some web-based SOA data elements in the current LD system are available to the public.	In Review

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69	6/3/2011	Time Stamping Correspondence	Time stamping LD correspondence will aid in measuring quantifiable goals with regard to the Customer Service function.	Owners request to receive a report which time stamps correspondence within the LD. And 'No Replies' should be captured within a certain time frame.	In Review
70	6/3/2011	Report Formats	Multiple data formats can increase accessibility for users.	Reports and data should be available in csv, txt or pdf formats and importable to Excel.	In Review
71	6/3/2011	DAO Balance, Account Activity, and ECO Access	Ease of access for pertinent information can decrease work for reporting.	Links or a window on the new site providing access to the Deposit Account (DAO) balances and account activity is suggested by owners. Link to ECO (Electronic Copyright Office - online system for completing the electronic copyright registration of your work).	In Review
72	6/3/2011	System Owner Fields	Fields should be mandatory and enforced, for example the System Owner field.	The System Owner fields should be mandatory.	In Review
73	6/3/2011	Report I-1 - List of Call signs	Requested Changes to Current Reports	• Need Column Headings • Need state Input parameter • Need local/distant/all input parameter (this will eliminate the need to have a separate report for distant call signs) • Need a drill through report on the 4 call signs indicated. On the sample report for list of call signs, there is a column for call signs without a heading. This was assumed to be the number of stations. A drill down report has been suggested for this number to display the details of the station. Note: the "List of Distant Call Signs" the column is identified and is actually the Channel number, so a drill down report would not be applicable.	In Review
74	6/3/2011	Report I-2 – Cable Systems marked for Deletion	Requested Changes to Current Reports	• Change report title to "Cable Systems marked for Deactivation" • Add Report column for Form Number (SA 1,2,3) • Add an input parameter for form type (SA 1,2,3) • Create separate fields for First Community and State. (parse all fields into their own column)	In Review
75	6/3/2011	Report I-3 – Cable Systems without Allocations or Transfers	Requested Changes to Current Reports	• Parse all fields into their own column. • Add Report column for Form Number (SA 1,2,3)	In Review
76	6/3/2011	Report I-5 – Correspondence Flag	Requested Changes to Current Reports	• Add Report column for initial date of correspondence • Add Report column with Y/N value for "responded" • Phase 2 - Add Correspondence categories • Add Report column for Form Number (SA 1,2,3)	In Review
77	6/3/2011	Report I-9b – Report of System name changes	Requested Changes to Current Reports	Need the following fields: MSO, Old Name, New Name, Number of Communities, System Owner Y/N	In Review
78	6/3/2011	Report I-10A – Cable Systems By Legal Name	Requested Changes to Current Reports	• Parse all fields into their own column • Add Report column for Form Number (SA 1,2,3) • Input parameter for State • Add an input parameter for form type (SA 1,2,3) • Column Headings needs to be displayed properly	In Review

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79	6/3/2011	Report I-10B/ I15 – All/First community cross reference	Requested Changes to Current Reports	- Parse all fields into their own column - Fix page number count at top of report	In Review
80	6/3/2011	Report I-17 – Cable Remittance	Requested Changes to Current Reports	• Parse all fields into their own column • Add Report column for Form Number (SA 1,2,3) • Add input parameter for Acct YR/Period • Add input parameter for Date	In Review
81	6/3/2011	Report I-18 – Authorized Refunds	Requested Changes to Current Reports	• Remove last 4 report columns for internal reference: • Examining Authorized • Examining Approved By • Examining approved By • Fiscal Approved By • Add Report Column for Date Requested (Amendment Date) • Add Report column for Form Number (SA 1,2,3) • New Report – Amendment Report (All) • Refund (Y/N) OR Additional Payment • Add a Date at top of report • Add Report column for Form Number (SA 1,2,3) • Add all fields that are in the Authorized Refunds report above	In Review
82	6/3/2011	Report E-10 – Closed Statements of Accounts	Requested Changes on Current Reports	Parse all fields into their own column.	In Review
83	6/3/2011	Report E-11 – Cable Systems carrying specified signal	Requested Changes to Current Reports	- Parse all fields into their own column. - Remove Column "type"	In Review
84	6/3/2011	Report F-99 – Gross Receipts by account year and Period (no Changes)	Requested Changes to Current Reports	Gross Receipts by account year and Period (no Changes)	In Review
85	6/3/2011	Report F-38 – Stakeholder Operating Costs (PDF report)	Requested Changes to Current Reports	Need to have the data in csv format	In Review
86	6/3/2011	Report F-2 – CRT (CRB) Report – Cable Royalties by fund/status of Cable Royalty Receipts (no Changes)	Requested Changes to Current Reports	CRT (CRB) Report – Cable Royalties by fund/status of Cable Royalty Receipts (no Changes)	In Review