

# **Human Capital Management Plan**

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## **2004-2008**

**United States Copyright Office**

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## Message from the Register of Copyrights

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I am pleased to present the Copyright Office Human Capital Management Plan for 2004–2008. This Plan has been developed as a companion to the Office's Strategic Plan and links our human capital planning to the Office's strategic policy and management objectives. It emphasizes the importance of human capital management to the successful accomplishment of our mission.

In every organization, people are the most valuable resource. This is especially true at the Copyright Office, which is fortunate to have a seasoned, dedicated, and professional workforce that is customer-service oriented. The Office has a unique mission, and I am gratified when I work with staff and see their dedication and commitment to ensuring that we carry out that mission in the very best way possible.

Over the last several years, the Copyright Office has been engaged in charting a clear vision and strategic outlook to help us accomplish our mission: to promote creativity by administering and sustaining an effective national copyright system.

Our Reengineering Program has been the impetus for looking at not only our work processes, but the technology, organization, and facilities that support the processes. Through this program, the Office has focused on the public services we provide and ways to invest in our current and future workforce. As such, significant progress has been made toward initiatives that are part of developing a plan to manage our human capital. Examples of accomplishments include:

- Completion of a skills assessment and a skills gap analysis
- Development of a comprehensive training plan based on the skills assessment and gap analysis
- Design of a new organization structure to support our new reengineered business processes
- Performance management that results in all eligible persons receiving timely yearly performance evaluations

The focus over the next several years will be to refine and implement these initiatives already underway, along with others that will be identified and developed as part of this plan.

The Copyright Office Human Capital Management Plan is a living document that will be routinely assessed and updated as the Office proceeds toward full implementation of its Reengineering Program.

I look forward to working with stakeholders to support the initiatives and to achieve the results outlined in this Plan.

Marybeth Peters  
*Register of Copyrights*  
*United States Copyright Office*  
*Library of Congress*



# Introduction

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Human capital is defined as the time, personal skills, capabilities, experiences, and knowledge of the individual. Human capital is obtained through a variety of means—formal education, job training, on-the-job learning, and life experiences. Employees bring their human capital to the job, and in return, the job rewards the human capital investment through pay, benefits, intrinsic job satisfaction, recognition for good performance, and opportunities to learn and advance in the organization.

Strategic management of human capital is necessary to ensure that human resources are effectively utilized, and that they support the Office's vision and mission. This Human Capital Management Plan (HCMP) of the U.S. Copyright Office directly supports the Office's Strategic Plan for FY 2004–2008. The Strategic Plan defines the Office's vision and strategy for accomplishing its mission more effectively. Annual Program Performance Plans, based on the Strategic Plan, set specific performance targets for each fiscal year. This HCMP is designed to be a working document, used regularly to align human resources with our strategic goals.

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## Human Capital Framework

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The Copyright Office has created an integrated HCMP that is strategically aligned with our vision, mission, and goals. There are five key parts to this Plan that follow guidance from OMB, GAO, and OPM. Each part has a goal or goals, and the goals are supported by strategic objectives that will guide our efforts and transform how we assess, plan for, and respond to human capital challenges and needs. The parts also include recent or ongoing activity and/or accomplishments toward achieving the goal. The five parts and their related goals are:

### ***Part 1: Strategic Alignment***

**Goal 1:** Set the mission, goals, and organizational objectives for the Office in the Strategic Plan, Annual Performance Plan, and budget, and incorporate human capital as a part of these plans.

### ***Part 2: Organizational Alignment and Workforce Planning***

**Goal 2:** Design and implement an effective organizational structure and workforce to carry out our mission.

### ***Part 3: Talent***

**Goal 3:** Recruit, hire, develop, and retain employees with the necessary skills for mission accomplishment.

**Goal 4:** Foster an environment that is attractive to individuals from all segments of society.

### ***Part 4: Results-Oriented Performance Culture***

**Goal 5:** Develop a performance management system that distinguishes between high and low performers, links individual/team/unit performance to organization goals, and motivates and rewards staff for high performance.

### ***Part 5: Leadership and Knowledge Management***

**Goal 6:** Ensure an integrated, strategic training and development program that builds needed leadership competencies.

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## **Our Mission**

The Copyright Office mission is to administer and sustain an effective national copyright system. The first federal copyright law was enacted by Congress in May 1790. In 1870, a centralized national copyright function was established in the Library of Congress to meet the requirement to deposit works registered for copyright in a single location. The registration and deposit of works under copyright protection have served two important purposes: to create a public record of copyright registration as legal evidence and to enrich the collections of the Library of Congress for the benefit of the American people.

Under current copyright law, people registering their published claims to copyright generally send two copies of their work to the Copyright Office, and these copies are made available to the Library of Congress for its collections. The collections of the Library of Congress, particularly works of American authors, have been greatly enriched by the copyright system. The Copyright Office annually transfers to the Library of Congress nearly one million works, including books, serials, computer-related works, movies, music, sound recordings, maps, prints, dramatic works, and other items.

Authors, other copyright owners, users of copyrighted works, copyright industries, libraries, and the public rely on Office records of registered claims in copyrighted works and recorded documents concerning ownership of works. The value of these records is greatest when up-to-date information is available to the public in a timely manner. Current copyright processes have been in place for more than twenty-five years. While these processes have generally worked well, technology provides new opportunities to improve public services, including greater capacity to handle online submissions for copyright registration. Office services and the supporting technology must be able to accommodate the demands of a digital world.

## Copyright Office Strategic Plan Mission, Goals, and Objectives

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### *Mission*

To promote creativity by administering and sustaining an effective national copyright system.

### *Goals and Objectives*

- Provide timely, quality service to the Congress, the executive branch, and the courts to address current and emerging challenges to copyright policy and law
- Promote lawful use of copyrighted works and compensation to creators by providing timely, easy-to-use public services
- Improve public understanding of copyright law
- Support Library of Congress service to Congress and the American people by providing timely acquisition of copyrighted works required by the Library

## Business Process Reengineering

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In September 2000, the Copyright Office embarked on a multi-year business process reengineering initiative to improve the efficiency and effectiveness of its public services. In addition to the responsibilities given the Office in the Copyright Act, the Office looked at the public demand for services, particularly the desire for online services, and identified and defined seven principal processes. More than half of our staff have participated in the process of defining these principle services and how best to provide them. With the principle processes defined, the Office then began to define a new organizational structure with new job roles, new information technology requirements and capabilities, and new facilities to enable workflow for these new processes. Full implementation of reengineering is scheduled for FY 2006.

## Current Organization and Workforce

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Currently, there are six operating divisions in the Copyright Office that carry out the different functions. In addition, the Offices of the Register, the General Counsel, and Policy and International Affairs work with Congress, executive branch agencies, and the judiciary on regulatory and policy issues. At the beginning of 2004, the Copyright Office employed 523 staff. Of that number, approximately 12 percent are retirement eligible; approximately 41 percent are eligible for early retirement; 2.7 percent have been at the Copyright Office less than 5 years.

Within the Copyright Office, there are 3 key occupational categories: Administrative/Other, Copyright Specialist, and Legal.

- **Administrative/Other:** This group comprises our largest number of staff. This category covers different job classifications including administrative, technical, and clerical

functions. The bulk of positions in this category are copyright technicians (1211 series) and clerks (303 and 305 series) that support registration functions.

- **Copyright Specialists:** The second largest number of staff are in this category. Copyright specialists examine and correspond on claims for registration; create the public record of claims registered; record and process documents submitted for recordation; examine statements of account and documents submitted for statutory licenses; and, answer information requests on copyright services and requirements.
- **Legal:** There are approximately 20 attorney advisors on staff who assist in administering the copyright law and formulating policy and regulations on domestic and international copyright matters.

An important point to note about the Copyright Office workforce is that, unlike other government agencies, we do not have specialized knowledge and skill requirements for most of our positions. Other than the attorney positions, most positions require more general attributes such as analytical ability and communication skills. The Office hires individuals who possess these general skills and provides specific on-the-job training that focuses on gaining knowledge of the copyright law and Office practices and procedures.

While other agencies have concerns about competition with both the federal and private sectors for specialized skills, we have the advantage of recruiting from the general population. However, this does require that the Office conduct extensive on-the-job orientation and training. This point drives our human capital strategy for recruiting, developing, and retaining employees.

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### Reliance Upon Library of Congress Human Resources Services

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As one of the major service units of the Library of Congress, the Copyright Office must rely on agency-designated offices for personnel and infrastructure support including personnel administration, payroll processing, training and development. To implement this HCMP successfully, the Office must work with others in the Library of Congress, particularly Human Resources Services, to forge innovative solutions to the overall hiring, pay, retention, training, and evaluation of staff. We must work with other federal agencies to determine what statutory and regulatory changes are needed to address these and other initiatives. Many of the personnel rules and regulations that were designed decades ago do not fit in today's world. They are cumbersome and add little or no value, and as such, are no longer effective. There must be reform of the rules and regulations that govern how the Copyright Office, the Library of Congress, and government agencies in general hire, train, and develop employees.





## Strategic Alignment

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The Copyright Office's Strategic Plan for the years 2004–2008 is the underpinning for the day-to-day activities of its managers and supervisors. The plan sets out guiding principles that will focus managers and staff on the most important requirements facing the Office. The Strategic Plan is given practical expression through the Office's Annual Program Performance Plans, which form a basis for managers and supervisory plans and periodic staff performance reviews.

The principal objective of the Office's Human Capital Management Plan is to utilize human capital strategically to support the Office's goals and mission.

**GOAL 1: *Set the mission, goals, and organizational objectives for the Office in the Strategic Plan, Annual Performance Plan, and budget, and incorporate human capital as a part of these plans***

### *Strategic Objective*

- Employ a competent, committed, customer-service oriented workforce that is focused on accomplishing the Office's mission, goals, and organizational objectives as outlined in the Office's Strategic Plan



## Organizational Alignment and Workforce Planning

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Fundamental to a workable and successful human capital management plan is ensuring that the organizational structures and the workforce are aligned to support and achieve the agency's mission and strategic goals. Structures must be streamlined and staff resources assigned to the appropriate areas. Workforce planning plays a critical role in getting the right people at the right time to do the right job. It also prepares employees for different and more challenging roles, guides succession planning, and reduces lag time in filling critical positions.

**GOAL 2: *Design and implement an effective organizational structure and workforce to carry out our mission***

***Strategic Objectives***

- Create and implement an organization that aligns with the overall Copyright Office mission and Strategic Plan and facilitates the most efficient way to accomplish the work of the Office
- Create an organizational structure that provides as many opportunities as possible for lateral and upward movement of staff to build upon expertise
- Cross-train employees to allow for deployment of staff to respond to workload fluctuations and to improve job satisfaction

***Activity/Accomplishments***

**Organizational Alignment:** Alignment of the organization in the Copyright Office is already underway as part of our Reengineering Program. To implement our new business processes, the Office is realigning and reorganizing its current organizational structure. Currently, there are six operating divisions in the Copyright Office. Reengineered processes will result in a new organization comprising six operational divisions or programs that represent our principal business processes. This reorganization includes modifying the current division structures, modifying existing position descriptions, and developing new jobs to support the redesigned processes. The new jobs incorporate a variety of duties that enhance existing skill sets of staff and create additional opportunities for career bridges and ladders. Through this process we have looked at ways to streamline our process and thus our organizational structure.

The proposed new organizational structure realigns existing divisions so that they

- are organized around processes to promote accountability for end products and services
- encourage a team-based environment to meet the performance metrics for each process area
- incorporate a variety of duties into positions that enhance existing skill sets of Copyright Office staff
- allow opportunities at lower levels for advancement to higher levels

Additionally, the new structure is more efficient, eliminates duplicative efforts, reduces layering, and allows the Office to deploy staff to respond to workload fluctuations as they occur.

**KSAs and Other Competencies:** To achieve our organizational objectives, the Office assessed its current environment and determined what it needed to transition successfully into the new environment. This assessment was conducted through a series of work unit and job design sessions with management, staff, and union participation. During these sessions, participants developed and recommended new organization structures and jobs to support the redesigned processes. Participants also identified new knowledge, skills, and abilities and other competencies required to implement the redesigned processes successfully.

**Workforce Alignment:** In our proposed organizational structure, we have created three basic positions for each division — support assistant, technician and specialist — each with a position description including many generic duty statements. The support assistant performs a combination of general office support duties and the most basic technical functions. Support assistants will also receive cross-training on duties that better equip them with the technical skills they need to compete for technician positions. Technicians perform specific technical duties within a particular division. Technicians also receive cross-training on functional duties that will better equip them with the functional knowledge and skills needed to compete for specialist positions within their division or in another division. Specialists will perform advanced administrative technical functions and have specific knowledge of their process area, such as registration, recordation, cataloging, and information and can cross-train in another area in order to expand their knowledge and expertise so that they can advance into senior specialists or supervisory positions.

Through the process of designing the new organization, the Office conducted an initial workload allocation of existing positions and grade levels to new positions and proposed grade levels. This allocation serves as a placeholder for the number of staff anticipated for each new position. These numbers will be driven by the volume of material and items handled by each division, changes in information technology operating systems, and proposed performance targets for each work process. Once the reorganization is approved, the workload allocation will be finalized, and a staffing allocation showing how each staff member will cross over into the new organization will be created.

## Talent

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One of the biggest challenges to achieving our mission, and hence the goals in our Strategic Plan, is our ability to secure, develop, and retain the expertise and resources needed to execute these strategies and actions. The Copyright Office expects to see a change in the workforce over the next few years given the potential number of staff eligible to retire. More importantly, implementation of our Reengineering Program will require staff to learn new job roles and develop new skill sets creating the potential of accelerating retirements, especially for those who are resistant to change or do not wish to learn new skills.

### ***GOAL 3: Recruit, hire, develop, and retain employees with the necessary skills for mission accomplishment***

#### ***Strategic Objectives***

- Work with Human Resources Services to develop a streamlined, effective recruitment and hiring system that adheres to all of the Merit Selection principles while allowing for expeditious hiring of highly qualified people

- Develop critical skills necessary to meet present and future business needs
- Deliver timely, effective training to employees that is linked to competencies needed to fulfill strategic initiatives and accomplish the mission
- Provide training and development to build needed skills and competencies, including more effective incorporation of knowledge sharing and mentoring in the developing of employees
- Identify developmental opportunities other than training for staff
- Ensure that staff in core positions have opportunities to maintain their peak technical skills and regularly assess the need for adding new skills
- Identify and/or develop a series of core supervisory and managerial training requirements
- Develop yearly staffing plans through the internal budget planning process to identify critical permanent, temporary, or contract staffing needs and authorize funding to fill the positions
- Identify, develop and promote use of policies and programs that improve the working environment, such as pay for performance, pay banding, signing and retention bonuses, student loan repayment, tuition support, and telework
- Utilize Voluntary Early Retirement Authority (VERA) and/or Voluntary Separation Incentive Payment (VSIP) as a management tool to reshape the workforce
- Design and construct efficient, functional facilities

### **Activity/Accomplishments**

**Skills Gap Analysis and Assessment:** Reengineering not only changes our work processes, it also changes our IT and job roles. Changes in each of these areas will affect training. To understand and define training needs, the Office conducted a skills gap analysis that compared KSAs and competencies in existing positions to the KSAs and competencies identified as part of the new job roles. The Office then documented and analyzed the skills gaps by process area and position. The analysis revealed that there are no mission-critical skill gaps. It did show that while many current skills will transfer to the new job roles, technology skills are needed across the board to enable the use of new information systems for better program delivery. This analysis also identified the requirement for “on-the-job” training on new work processes that will need to occur throughout the implementation phase and past implementation. The training needed for staff was identified as:

- Process training on KSAs and competencies specific to the particular process area
- IT training to operate new information systems
- Change management courses that provide the KSAs and competencies needed to adapt to reengineered job roles and a new organization
- Customer service training to ensure quality service to users

**Training:** Based on the skills gap analysis, the Office developed a detailed training plan to identify and deliver the training needed to transition to the new environment. The Office has also created procedures manuals that lay out detailed step-by-step instructions for

performing each task for each job in each process area. The procedures manuals will be used to train employees and ensure continuity of operations. They will be kept current.

With the implementation of reengineering, almost all jobs will require some information technology skills. The Office's workforce must use information technology as an effective means for delivering service to its users. Employees need retraining and higher skill levels in order to keep up with technology improvements and program changes. Also, employees will need the knowledge and skills to understand technological changes in the industries that the Copyright Office serves.

Change management courses will be designed to help staff implement the new processes and technology successfully. A number of course have been identified that will accomplish this. They are:

- *The Customer Program*—helps employees, managers, and leadership develop the appropriate values, skills, and behaviors necessary for a customer-focused organization
- *Teams in Action*—teaches employees and managers the essential tools for effective teamwork
- *Facilitating Change*—teaches employees and managers the concepts of change management and the process of making change successful
- *Empowerment of Managers*—teaches managers the tools needed to implement empowerment in the workplace
- *Time Management*—teaches employees and managers how to master the fundamental self-management skills such as managing time, defining immediate and long range goals, prioritizing, and handling unexpected events and conflicting priorities.

The Office created a new position of Training Specialist and will fill the position in early Fiscal Year 2005. The Training Specialist will design and teach courses tailored to our needs, identify training necessary to maximize cross-training and staff development opportunities, coordinate general training needs with the Library's Center for Learning and Development and outside vendors, and develop outreach training in new work processes for large-volume or frequent customers.

To ensure that training builds the skills to perform new work and fosters improved communication, the Training Specialist will develop the training template that will be used as the basis for each process training curriculum, course descriptions, work instructions, reference guides, job aids, and training manuals for instructors and users.

The Training Specialist will track and report on types, numbers, cost, and effectiveness of training. The Specialist will also maintain information on employee skills in order to determine future gaps and assist managers in deploying staff to areas of need.

**Mentoring:** The Library of Congress Mentoring Program provides a strategic way to preserve institutional knowledge and encourage advancement and increased productivity. Mentorees with diverse backgrounds and interests represent many of the service and support units throughout the Library.

Those who volunteer to serve as mentors receive training and are asked to serve for one year in a formal mentoring partnership. At the end of the year, the mentoring pairs are

asked to evaluate the process and give feedback on progress and design of future mentoring programs.

**Recruitment:** The Office must work with the Library of Congress Human Resources Services to streamline hiring activities. Lengthy processes and complex procedures can result in the loss of candidates when the Office is unable to make final offers quickly. Each component of the hiring process must be studied and streamlined wherever possible. Together, we must look at industry best practices and identify those suitable to the Library. Benefits already provided by Library regulation such as signing bonuses, retention bonuses, payment of moving costs, tuition support, alternative/flexible pay programs, leave benefits, and student loan repayment all must be utilized when necessary to attract qualified candidates, particularly in certain occupations. Policies that place unnecessary barriers on hiring and pay must be addressed across the federal government if it is to remain competitive with the private sector, and the Library must take a leading role in identifying and implementing changes that improve its ability to hire and retain employees. Additionally, benefit programs must be adequately funded.

Supervisors and managers must do their part to ensure an efficient and timely hiring process. The Office's success in keeping critical jobs filled is due in part to the management process that is already in place to fill existing vacancies or anticipated vacancies, and to fund and acquire temporary or contract help to cover temporary shortfalls. Supervisors must continually monitor critical areas of work, anticipate fluctuations in workload, request additional resources when needed, monitor departures, and hire replacements quickly.

**Supervisory and Managerial Development:** Managers and supervisors must possess strong leadership and managerial skills, good communication skills, customer service skills, and strategic planning skills to lead and guide employees in the effective delivery of services to customers. Also, managers and supervisors must have the necessary technical skills to manage highly skilled workers, and must provide the leadership that motivates and helps retain these employees.

The Office foresees an increased emphasis for managers and supervisors on business principles, particularly in the areas of contract management, risk analysis, and change management. Managers and supervisors will also need project management skills to work with contractors on defined projects and manage increasing workloads.

**Employee-friendly Workplace:** Currently, the Office offers various workplace flexibilities that are all part of attracting employees. For example, we offer flexible work schedules, transit subsidies, and other services. The Office will work with the Library's Human Resources Services to study additional flexibilities and identify industry best practices that work best for us.

A part of our Reengineering Program also includes redesigning our current facilities in the Madison Building to accommodate new processes and new IT. The design is intended to implement architectural improvements in the most efficient way, incorporate the latest

ergonomic elements, and generally be more comfortable and pleasing to the eye. Specific objectives of the redesign are to

- utilize space efficiently
- satisfy adjacency requirements to reduce movement of materials
- create functional workspace with adequate furniture and workstations
- provide more secure facilities for in-process work
- consolidate public viewing areas
- improve lighting levels
- provide aesthetically pleasing spaces for the staff and public

**Diversity:** Part of building a talented and capable workforce is ensuring its diversity. Diversity contributes to a creative and innovative work environment. To foster an environment that is attractive to individuals from all segments of society, the Office will continue to support diversity and affirmative action programs and emphasize the importance of these initiatives to fulfill our mission successfully. Having a diverse and discrimination-free workplace is a priority for the Copyright Office.

**GOAL 4: Foster an environment that is attractive to individuals from all segments of society**

**Strategic Objectives**

- Foster a climate that values inclusion to build and maintain a highly-qualified and diverse workforce
- Educate staff in actively encouraging and supporting a workplace free of discrimination, sexual harassment, unfairness, and inequity
- Promote initiatives that result in a diverse and representative workforce
- Determine areas where targeted recruitment is necessary
- Clearly define supervisory and managerial diversity responsibilities and expectations
- Recognize and reward supervisors and managers for successful implementation of diversity initiatives

**Activity/Accomplishments**

The Executive Committee of the Library has identified a number of required training courses that are focused on educating supervisors and managers on important issues that contribute to maintaining sound staff relations. Some of the courses are:

- Diversity in the Workplace
- Sexual Harassment Prevention
- Workplace Violence Prevention
- Facilitative Leadership
- Understanding the Americans with Disabilities Act

The Copyright Office systematically sends all new supervisors to these classes shortly after appointment, and regularly suggests that seasoned managers and supervisors take the

courses as a refresher on these topics. Also, several of these courses are open to staff, and their participation is encouraged.

In addition, the Office participates in the Library's Administrative Management Training Program that is designed for, and mandatory for, all first-line supervisors. Team leaders, managers, division chiefs, and administrative staff are also strongly encouraged to attend. There are eight course modules that are designed to provide first-line supervisors with the latest policies, procedures, information, and case studies on specific topics. Three of the program modules are:

- Labor Relations
- Overview of Diversity Awareness, EEO Complaints, and Dispute Resolution
- Affirmative Action, Sexual Harassment, and the Americans with Disabilities Act of 1990

The Office also participates in Affirmative Action Programs sponsored by the Library, such as the Affirmative Action Detail Program, Affirmative Action Intern Program, Affirmative Action Tuition Support Program, and Cultural Awareness Programs. These programs are highly advertised to all staff and managers, and participation is encouraged.

The Office also encourages staff and managers to participate in the dispute resolution process as a means to address workplace issues. Using mediation, diplomacy, counseling, and neutral fact-finding, mediators work with disputants to aid them in defining and correcting causes of workplace conflict. This has been a very successful means to facilitate solutions among the parties to a dispute.





## Results-Oriented Performance Culture

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The Copyright Office is committed to fostering a performance culture that motivates and rewards employees for high performance and ensuring that all are committed to achieving results aligned with the strategic goals.

Managing human capital is the responsibility of managers and supervisors who interact on a daily basis with staff to give direction, communicate expectations, provide feedback on performance, train, and identify the need for training. Through this interaction, the work of the organization is accomplished. Therefore, it is critical that everyone participating in these processes understand the requirements and expectations and regularly communicate the impact on achieving the organization's mission. Effective performance management includes:

- planning work and setting expectations
- continually monitoring performance
- developing the capacity to perform successfully
- periodically rating performance
- rewarding good performance
- recognizing and dealing with poor performance

***GOAL 5: Develop a performance management system that distinguishes between high and low performers, links individual/team/unit performance to organizational goals, and motivates and rewards staff for high performance***

### ***Strategic Objectives***

- Align employee performance expectations with strategic initiatives and organizational goals and objectives
- Establish clear, measurable individual performance requirements and communicate them
- Provide regular feedback on performance
- Prepare timely biannual and yearly evaluations
- Identify training and developmental opportunities for staff to strengthen job-related skills and competencies
- Identify weaknesses or deficiencies in performance and address with training as appropriate
- Engage employee unions in the performance management process

- Establish supervisory and managerial accountability for individual and organizational performance
- Link awards and recognition to performance that contributes to achievement of organizational goals
- Address poor performance and take timely corrective action
- Effectively use probationary periods to determine employment suitability

### ***Activity/Accomplishments***

Part of full completion and implementation of the Office's new organization is creating performance requirements and plans for the new job roles. When the final reorganization package is approved, we will begin to prepare these plans. When completed, they will be bargained with the labor organizations.

Additionally, the Office provides training to managers and supervisors on performance management. For example, the Library's Administrative Management Training Program contains several specific modules that are focused on performance and performance management. These modules are:

- Tools for Dealing with Performance Problems
- Tools for Dealing with Conduct Problems
- Employee Assistance
- Performance Management

Each of these courses is designed to provide first-line supervisors, managers, and team leaders with the latest policies, procedures, information, and case studies related to the specific topic. The Copyright Office systematically sends all new supervisors to these classes shortly after appointment, and regularly suggests that seasoned managers and supervisors take these courses as a refresher on these topics.

# 5 Leadership and Knowledge Management

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The Copyright Office must ensure that it hires, develops, and maintains leaders who think strategically and innovatively to achieve results. Leaders must also be able to motivate employees to perform their best. They must be educated about strategic planning and annual performance plans and be able to impart information to supervisors about managing the work to fulfill the mission, and to staff about performing to achieve results. Leadership development programs that provide this kind of training and experience are necessary.

**GOAL 6: *Ensure an integrated, strategic training and development program that builds needed leadership competencies***

## ***Strategic Objectives***

- Define competencies and KSAs required for senior manager positions
- Ensure agency-level development programs to support succession planning for leaders
- Train managers in strategic planning principles
- Educate managers and staff about the Office's current Strategic Plan
- Work with managers and supervisors to determine institutional performance measures and set performance targets
- Train managers and supervisors on how to measure institutional performance and demonstrate results
- Provide career incentives that include advancement and leadership opportunities where possible

## ***Activity/Accomplishments***

**Knowledge Management:** The Office has two regularly-scheduled monthly forums to brief managers on current substantive and operational topics— Register's Conference and the Operations Group. At these meetings, senior managers share information and discuss important topics in their work area that impact areas throughout the Office. These forums are also used to decide on major policy and operational issues. This free sharing of information ensures that all managers are up-to-date on major issues and understand the overall direction of the Office on the legal and policy fronts, as well as operational and administrative matters.

**Leadership Development:** The Library's Leadership Development Program is designed to develop individuals from a diverse population to assume leadership positions. The

program seeks to expose participants to cutting-edge technology and information systems, and prepare them for the next generation of librarianship in an expanding electronic environment. Fellows participate in a twelve-month program that combines Library orientations; practical work experiences; a professional mentoring arrangement; needs assessments; professional development plans; training sessions focusing on issues relating to leadership, librarianship, and technology; and group and individual projects and reports and other developmental opportunities. Over the last several years, a number of Copyright Office staff have participated in this program. We will continue to support and encourage staff participation.

# Performance Measures and Evaluation

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The Copyright Office has already taken many steps to address its human capital challenges through its reengineering initiative. The Office will continually evaluate its performance in achieving the goals and objectives outlined in this plan and measure its progress toward meeting long-term results. Key performance measures will include:

- Improved services and performance to the public resulting in greater customer satisfaction
- A highly trained, high performing, diverse work force that enhances the value of services to the public and is equipped to achieve our mission
- A performance evaluation and measurement system that provides both accountability and fairness for all employees
- Senior managers, supervisors, and staff who are committed to achieving our mission

## Appendices

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### **A • Stakeholder Roles and Responsibilities**

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To implement the initiatives and objectives of this HCMP successfully, everyone must be committed to the plan and its goals. The commitment must begin at the top. Senior management must communicate their commitment to human capital and to achieving the human capital goals. Human capital management must be incorporated into supervisory and managerial performance plans. Because the Copyright Office is part of the Library of Congress and must rely on the Library for certain of its infrastructure needs such as staffing and training, the Office must work cooperatively and collaboratively with the Library to achieve certain human capital goals.

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

- Maintain commitment to the HCMP and communicate that commitment
- Provide accountability for implementation of the HCMP

### ***Senior Managers and Supervisors***

- Provide guidance and direction for the human capital planning effort
- Participate in agency-specific initiatives
- Implement human capital strategies in their areas
- Communicate HCMP to other supervisors and staff in their area
- Identify potential impediments and opportunities to achieve human capital goals
- Fairly, accurately, and timely evaluate employees using established performance measures

### ***Employees***

- Identify and understand their link to human capital efforts
- Provide feedback

### ***Unions***

- Collaborate with management to implement human capital strategies
- Identify and resolve issues through collaboration and/or collective bargaining

### ***Training Specialist***

- Implement training plan
- Conduct training classes
- Monitor and identify training needs
- Maintain skills bank

### ***LC infrastructure (Human Resources Services, Center for Learning and Development, Office of Workforce Diversity, Facility Services)***

- Support CO efforts to get the right people at the right time with the right skills through implementation of the Library's Merit Selection Plan
- Research human capital best practices and revise internal regulations as appropriate
- Propose and/or join other agencies in developing and seeking approval of new legislation as appropriate
- Develop or assist in acquiring training required to adequately develop required skills
- Design adequate, efficient space

## B • Implementation Framework

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**GOAL 1:** *Set the mission, goals, and organizational objectives for the Office in the Strategic Plan, Annual Performance Plan, and budget, and incorporate human capital as a part of these plans*

Strategic Objectives	Target Dates	Stakeholders
Employ a competent, committed, customer service oriented workforce that is focused on accomplishing the Office's mission, goals, and organizational objectives as outlined in the Office's Strategic Plan	Ongoing	1

### *Accomplishments toward meeting objectives of Goal 1*

- Divisions are adequately staffed with procedures in place to fill behind vacancies or cover temporary shortfalls
- Highly skilled workforce is in place
- Strategic Plan and Human Capital Management Plan for 2004–2008 issued
- Annual Performance Plan issued

## B · Implementation Framework, continued

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**GOAL 2:** *Design and implement an effective organizational structure and workforce to carry out our mission*

### **Strategic Objectives**

Create and implement an organization that aligns with the overall Copyright Office mission and Strategic Plan and facilitates the most efficient way to accomplish the work of the Office

Create an organizational structure that provides as many opportunities as possible for lateral and upward movement of staff to build upon expertise

Cross train employees to allow for deployment of staff to respond to workload fluctuations and to improve job satisfaction



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**Target Dates****Stakeholders**

Ongoing; full implementation  
FY 2006

Register, senior managers, supervisors, HRS,  
unions (bargaining)

Ongoing; full implementation  
FY 2006

Register, senior managers, supervisors

FY 2006; ongoing assessment

Managers, supervisors, training specialist

***Accomplishments toward meeting objectives of Goal 2***

- Designed a new organizational structure to support new reengineered business processes
- On target to implement new structure in FY 2006
- Identified KSAs and competencies required to implement redesigned processes
- Created position descriptions with generic duty statements across processes
- Conducted an initial workload allocation of existing positions to new positions

## B · Implementation Framework, continued

### *GOAL 3: Recruit, hire, develop, and retain employees with the necessary skills for mission accomplishment*

#### **Strategic Objectives**

Work with HRS to develop a streamlined, effective recruitment and hiring system that adheres to all of the Merit Selection principles while allowing for expeditious hiring of highly qualified people

Develop critical skills necessary to meet present and future business needs

Deliver timely, effective training to employees that is linked to competencies needed to fulfill strategic initiatives and accomplish the mission

Provide training and development to build needed skills and competencies, including more effective incorporation of knowledge sharing and mentoring in the developing of employees

Identify developmental opportunities (other than training) for staff

Ensure that staff in core positions have opportunities to maintain their peak technical skills and regularly assess the need for adding new skills

Identify and/or develop a series of core supervisory and managerial training requirements

Develop yearly staffing plans through the internal budget planning process to identify critical permanent, temporary, or contract staffing needs and authorize funding to fill the positions

Identify, develop and promote use of policies and programs that improve the working environment such as pay for performance, pay banding, signing and retention bonuses, student loan re-payment, tuition support, telework

Utilize VERA and/or VSIP as a management tool to reshape the workforce

Design and implement efficient, adequate facilities

#### *Accomplishments toward meeting objectives of Goal 3*

- Conducted a skills gap analysis
- Identified training needs
- Developed detailed training plan based on skill gap analysis

<b>Target Dates</b>	<b>Stakeholders</b>
Ongoing	Senior managers, supervisors, HRS, unions (bargaining)
Ongoing	Senior managers, supervisors, training specialist, LC Center for Learning and Development
Begins FY 2005, ongoing	Same as above
Begins FY 2005, full implementation of training plan in FY 2006; ongoing assessment	Same as above
Ongoing	Same as above
Ongoing	Same as above
Begins FY 2005; ongoing assessment	Same as above
Early; September 2004 for FY 2005 budget	Register, senior managers, supervisors
Ongoing	Senior managers, supervisors, HRS, unions
Ongoing	Register, senior managers, HRS
Ongoing; full implementation FY 2006	Register, senior managers, Facility Services

- Developed detailed procedures manuals for each task, for each job, for each process area
- Created position of Training Specialist to carry out training plan
- Identified needed supervisory and managerial developmental skills
- Prepared redesign of current facilities

## B • Implementation Framework, continued

**GOAL 4:** *Foster an environment that is attractive to individuals from all segments of society*

### **Strategic Outcomes**

Foster a climate that values inclusion to build and maintain a highly-qualified and diverse workforce

Educate staff on how to actively encourage and support a workplace free of discrimination, sexual harassment, unfairness, and inequity

Promote initiatives that result in a diverse and representative workforce

Determine areas where targeted recruitment is necessary

Clearly define supervisory and managerial diversity responsibilities and expectations

Recognize and reward supervisors and managers for successful implementation of diversity initiatives

Target Dates	Stakeholders
Ongoing	1
Ongoing	Register, senior managers, supervisors, unions, training specialist, LC Center for Learning and Development
Ongoing	1
Ongoing	Senior managers, supervisors, Human Resources Services, Office of Workforce Diversity
Ongoing	Same as above
Ongoing	Register, senior managers, supervisors

**Accomplishments toward meeting objectives of Goal 4**

- Ongoing supervisory training in Administrative Management and other courses focused on educating supervisors and managers on important issues that contribute to maintaining sound employee relations
- Participation in Affirmative Action Programs sponsored by the Library-Affirmative Action Detail Program, Affirmative Action Intern Program, Affirmative Action Tuition Support Program, Cultural Awareness Programs
- Encourage staff and managers to participate in the dispute resolution process to address workplace issues

## B • Implementation Framework, continued

**GOAL 5:** *Develop a performance management system that distinguishes between high and low performers, links individual/unit/team performance to organization goals, and motivates and rewards staff for high performance*

### Strategic Objectives

Align employee performance expectations with strategic initiatives and organizational goals and objectives

Establish clear, measurable individual performance requirements and communicate them

Provide regular feedback on performance

Prepare timely biannual and yearly evaluations

Identify training and developmental opportunities for staff to strengthen job-related skills and competencies

Identify weaknesses or deficiencies in performance and address with training as appropriate

Engage employee unions in performance management process

Establish supervisory and managerial accountability for individual and organizational performance

Link awards and recognition to performance that contributes to achievement of organizational goals

Address poor performance and take timely corrective action

Effectively use probationary periods to determine employment suitability

Target Dates	Stakeholders
Begins FY 2005; full implementation in FY 2006	1
Same as above	Register, senior managers, supervisors
Ongoing	Senior managers, supervisors
Biannual; yearly (ongoing)	Register, senior managers, supervisors
Begins FY 2005; ongoing assessment	1
Ongoing	Senior managers, supervisors
Ongoing	Register, senior managers, supervisors, unions
Begins FY 2005; ongoing assessment	Register, senior managers, supervisors
Ongoing	Same as above
Ongoing	Same as above
Ongoing	Same as above

**Accomplishments toward meeting objectives of Goal 5**

- Instituted process that resulted in all eligible persons receiving timely yearly performance evaluations
- Initiated discussions to begin process of working with HRS performance management experts to develop performance measures and plans for new job roles
- Started process to update managers performance plans to reflect changes in the Strategic Plan and to incorporate human capital management as part of their plan

## B • Implementation Framework, continued

**GOAL 6:** *Ensure an integrated, strategic training and development program that builds needed leadership competencies*

### **Strategic Objectives**

Define competencies and KSAs required for senior manager positions

Ensure agency-level development programs to support succession planning for leaders

Train managers in strategic planning principles

Educate managers and staff about the Office's current Strategic Plan

Work with individual managers and supervisors to determine Office performance measures and set performance targets

Train individual managers and supervisors on how to measure Office performance and demonstrate results

Provide career incentives that include advancement and leadership opportunities where possible



Target Dates	Stakeholders
Ongoing	Register, senior managers
Ongoing	Register, senior managers, training specialist, HRS, LC Center for Learning and Development
FY 2004–2005	Training specialist, LC Center for Learning and Development
FY 2004–2005	Register, senior managers, training specialist
Ongoing	Register, senior managers, Policy & Planning Program Manager
Ongoing	Register, senior managers, Policy & Planning Program Manager, training specialist
Ongoing	Register, senior managers, supervisors

***Accomplishments toward achieving objectives of Goal 6***

- Hold regular monthly meetings with senior managers on substantive legal, policy, and operational issues
- Hold regular monthly meetings with division chiefs and assistant chiefs on operational and administrative issues
- Participate in the Library’s Leadership Development Program

## Contact Information

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### Street Address

U.S. Copyright Office  
Library of Congress  
101 Independence Avenue SE  
Washington, DC 20559-6000

### Website · [www.copyright.gov](http://www.copyright.gov)

The Copyright Office website makes available copyright registration forms, informational circulars, testimony, announcements, general copyright information, and links to related resources. The website also provides a means of searching copyright registrations and recorded documents from 1978 forward.

### Public Information Office · (202) 707-3000

Information specialists are on duty to answer questions by phone from 8:30 a.m. to 5:00 p.m., eastern time, Monday through Friday, except federal holidays. Recorded information is also available.

### Forms and Publications Hotline · (202) 707-9100

The Forms and Publications Hotline is available 24 hours a day, seven days a week. Use this number to request application forms for registration or informational circulars if you know which forms or circulars you want. If you are unsure which form or circular to order, please call the Public Information Office.

### Fax-on-Demand · (202) 707-2600

Call from any touchtone phone to order up to three circulars and/or announcements via fax. Key in your fax number at the prompt and the document number of the item(s) you want. The item(s) will be transmitted to your fax machine. If you do not know the document number of the item(s) you want, you may request that a menu be faxed to you. Applications forms are not available via fax.

### TTY · (202) 707-6737

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### NewsNet

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