



Workforce and Organization

Human Capital Management

Human capital is defined as people and the time, personal skills, capabilities, experiences, and knowledge they bring to their work. 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. These human capital management goals are an adjunct that directly supports the Library’s and the Copyright Office’s strategic plans for fiscal years 2008–2013; they are used to align human resources with our strategic goals. They also support the Office of Workforce Diversity’s Multi-Year Affirmative Action Employment Plan for fiscal years 2008–2013, which defines strategies for obtaining the best qualified and most diverse workforce.

Current Organization and Workforce

During the Office’s multiyear business process reengineering initiative to improve the efficiency and effectiveness of its public services, the Office identified and defined seven principal processes, then determined a new organizational structure with new job roles, new information technology requirements and capabilities, and new facilities to enable workflow for these new processes. The Office implemented this new organizational structure on August 5, 2007.

Currently, there are seven operating divisions in the Copyright Office. 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 end of 2007, the Copyright Office employed over 500 staff members. Of that number, approximately 30 percent were retirement eligible; approximately 12 percent were eligible for early retirement; and 23 percent had been at the Copyright Office fewer than five years.

Within the Copyright Office, there are three 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 staff in this category are library technicians (1411 series) and clerks (303 and 305 series) who support registration and recordation functions.

- **Copyright specialists** · The second largest number of staff are in this category. Copyright specialists examine claims for registration, correspond with claimants, 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 15 attorneys on staff who assist in administering the copyright law and formulating policy and regulations on domestic and international copyright matters.

Other occupational categories include a small number of professional librarians.

An important point to note about the Copyright Office 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 the 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.

Reliance upon Library of Congress Human Resources Services

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, and training and development. To implement this Human Capital Management Plan successfully, the Office must work with others in the Library of Congress, particularly Human Resources Services, to forge innovative solutions to the overall process of hiring, pay, retention, training, and evaluation of staff.

Human Capital Goals

STRATEGIC ALIGNMENT: *Incorporate human capital as a part of the Office's mission, goals, and strategies as articulated in the Strategic Plan, Annual Performance Plan, and budget.*

The Copyright Office's Strategic Plan for the years 2008–2013 is the underpinning for the day-to-day activities of its managers, supervisors, and staff. The plan sets out guiding principles that will focus employees 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.

Human capital is people—a focused, diverse, trained, experienced, and motivated workforce that accomplishes the Copyright Office’s mission. The Human Capital Management Plan is the basic blueprint to help the Office recruit the right employees to perform the right work at the right time, providing value to those who use its services. The principal intent of the Office’s Human Capital Management Plan is to utilize human capital strategically to support the Office’s mission and goals and achieve beneficial outcomes for the public and the nation.

OUTCOME

Outcome 1: Strengthened linkage of human capital to the Copyright Office’s Strategic Plan, annual plans, and budget.

STRATEGIES

- Ensure that the Human Capital Management Plan goals and strategies directly support the Office’s Strategic Plan.
- Measure and evaluate progress in the Human Capital Management Plan using both qualitative and quantitative methods.
- Implement human capital principles in daily management of operations and planning.
- Ensure that the Strategic Plan, annual plans, and budget incorporate human capital considerations.
- Develop and employ a competent, committed, customer-satisfaction-oriented workforce that is focused on accomplishing the Office’s goals and strategies.

PERFORMANCE INDICATORS

<i>Outcome 1: Strengthened linkage of human capital to the Copyright Office’s Strategic Plan, annual plans, and budget.</i>	
Performance Indicators	Representative Measures
Planning documents	<ul style="list-style-type: none"> • Explicit alignment language relating to human capital
Manager and individual performance plans	<ul style="list-style-type: none"> • Alignment with strategic and annual plans

EXTERNAL FACTORS

- The potential retirement of a large number of staff poses challenges for (1) maintaining manager and employee focus on the Office's goals, outcomes, and strategies, and (2) sustaining workforce knowledge.

ORGANIZATIONAL ALIGNMENT AND WORKFORCE PLANNING: *Design and implement an effective organizational structure and workforce to carry out our mission and goals.*

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. Such planning involves ongoing analysis of the current state of the organization and, as needed, the development of alternative organizational design to achieve results. It also prepares employees for different and more challenging roles, guides succession planning, and reduces lag time in filling critical positions.

OUTCOMES

Outcome 1: Enhanced alignment of organizational and workforce improvements with the Office's mission, goals, and strategies.

Outcome 2: Optimized staffing and improved productivity levels to meet Office goals and strategies.

Outcome 3: Optimized environment that maximizes effectiveness, quality, and creativity in achieving Office goals and strategies.

STRATEGIES

- 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.
- Provide a safe, secure, functional and pleasing physical environment.
- Create an organizational structure that provides as many opportunities as possible for lateral and upward movement of staff to build upon expertise.
- Develop the capacity to deploy staff flexibly to respond to workload fluctuations.
- Promote, maintain, and reinforce collaborative relationships among work units and among staff.
- Determine, continually evaluate, and take appropriate steps to reach optimal staffing levels and organizational structure.
- Evaluate organizational and workforce ability to meet Office goals.

PERFORMANCE INDICATORS

Outcome 1: Enhanced alignment of organizational and workforce improvements with the Office's mission, goals, and strategies.

Performance Indicators	Representative Measures
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Improvements aligned	<ul style="list-style-type: none">• Percentage of supervisors and staff with current performance plans aligned with Office plans• Percentage of division managers/divisions with current performance plans aligned with Office plans• Percentage of employees with current individual development plans aligned with Office plans• Training and development activities aligned with Office plans
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Outcome 2: Optimized staffing and improved productivity levels to meet Office goals and strategies

Performance Indicators	Representative Measures
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Copyright Office goals/outcomes/strategies	<ul style="list-style-type: none">• Percentage of specific annual productivity targets achieved
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Outcome 3: Optimized environment that maximizes effectiveness, quality, and creativity in achieving Office goals and strategies.

Performance Indicators	Representative Measures
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Employee satisfaction	<ul style="list-style-type: none">• Turnover of new employees• Users' satisfaction with computer workstations and servers, hardware, and software• Employee requests for changes to physical environment
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Efficiency of business processes	<ul style="list-style-type: none">• Best practices implemented• Performance targets met
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EXTERNAL FACTORS

- No known external factors.

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

One of our biggest challenges is our ability to recruit, hire, develop, and retain employees with the expertise needed to execute our strategies. The Copyright Office is in a unique position with regard to the skill sets employees need to be successful and fully qualified.

Copyright claimants submit an increasing number of works in a variety of formats, including those resulting from the explosion of new digital technologies. These new technologies require the Office to recruit and train employees to handle digital submissions and also to process them using new electronic methods. New technologies provide new challenges in the application of copyright law, submission options, and ways to process claims. The Office needs a workforce comfortable with technology and its implications, opportunities, and limitations. The Copyright Office workforce must increase its competence in this new environment, adapting quickly to change.

OUTCOMES

Outcome 1: Improved organizational dedication to pursuing the Office's strategic direction and retaining employees.

Outcome 2: Increased organizational and workforce flexibility to meet expected and unexpected challenges.

STRATEGIES

- Develop, provide, and/or deliver effective management and employee training to use existing competencies, foster new competencies, and develop critical skills for accomplishing the Office's mission and strategies.
- Institute and develop effective internal mentoring for new and existing employees.
- Identify those jobs where cross-training is needed and institute appropriate cross-training programs.
- Advocate improved human resources systems to support organizational missions within a streamlined and effective recruitment and hiring system.
- Develop 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 existing and new authorities, policies, and programs to improve workforce recruitment and retention.
- Identify developmental opportunities other than training.
- Identify, develop, and promote use of existing and new authorities, policies, and programs to improve the working environment.

PERFORMANCE INDICATORS

<i>Outcome 1: Improved organizational dedication to pursuing the Office's strategic direction and retaining employees.</i>	
Performance Indicators	Representative Measures
Recruitment and retention of employees with requisite competencies and skills	<ul style="list-style-type: none"> • Employee retention rates • Time to fill vacancies • Ratio of offers extended to offers accepted • Percentage of current positions filled • Legislative and regulatory authorities, policies, and programs used for additional human capital flexibilities
Workforce development and succession planning	<ul style="list-style-type: none"> • Percentage of staff with current performance plans • Percentage of staff with current performance appraisals • Employees participating in training and development activities

<i>Outcome 2: Increased organizational and workforce flexibilities to meet expected and unexpected challenges.</i>	
Performance Indicators	Representative Measures
Workforce development and succession planning	<ul style="list-style-type: none"> • Percentage of employees who are cross-trained • Percentage of employees with current individual development plans • Employees participating in training and development activities • Identification of strategies to address skill gaps • Establishment and maintenance of a service unit succession plan

EXTERNAL FACTORS

- The workplace will require advanced technical skills for job success. Technological advances will require that we continually upgrade the information technology competencies of our workforce to handle new formats and new ways of processing claims.

DIVERSITY: Foster an environment that is attractive to a diversity of individuals.

Part of building a talented and capable workforce is ensuring its diversity. The benefits of a diverse workforce, representative of the population as a whole, have been proven many times. Diversity contributes to a creative and innovative work environment. A

properly diverse workforce can also effectively champion people’s intellectual creativity, communicating copyright law and regulations in light of that diversity. The Office will continue to support diversity and affirmative action programs and emphasize the importance of these initiatives to the successful fulfillment of our mission and accomplishment of our strategies.

OUTCOMES

Outcome 1: Enhanced workforce diversity.

STRATEGIES

- Foster an environment that values inclusion.
- Recognize and reward supervisors and managers for successful implementation of diversity initiatives.
- Improve selection official and supervisor sensitivity to the benefits of workforce diversity.
- Improve processes to identify, recruit, and hire employees from under-represented groups.
- Educate staff to actively encourage and support a fair, equitable, discrimination-free workplace.

PERFORMANCE INDICATORS

Outcome 1: <i>Enhanced workforce diversity.</i>	
Performance Indicators	Representative Measures
Diverse workforce	<ul style="list-style-type: none"> • Diversity of applicants and selectees for vacancies • Diversity of selections for professional development opportunities • Staff completing affirmative-action programs and transitioning to targeted critical positions • Diversity recruitment sources for every vacancy announcement posted

EXTERNAL FACTORS

- There may be certain groups among whom there are not enough individuals qualified for the available positions, or for whom there are other barriers to employment.
- The highly competitive nature of the workforce marketplace, especially in the national capital region, results in an overabundance of employers seeking to hire a relatively few qualified members of particular groups.

RESULTS-ORIENTED PERFORMANCE CULTURE: *Develop a performance management system that distinguishes between high and low performers, links individual/team/unit performance to organizational goals, and motivates and rewards high performance.*

The Copyright Office is committed to fostering a performance culture that motivates and rewards employees for high performance and ensures 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 staff, 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 involved and regularly communicate about the importance of the processes to 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; and
- recognizing and dealing with poor performance.

Individual employees within an organization function at individual levels. It is incumbent upon management, however, to take reasonable steps to maximize the efforts of each and every individual so that the combined effect is the successful accomplishment of the Office's goals and strategies.

OUTCOMES

Outcome 1: Achieved or exceeded accomplishment of Office goals through improved individual and organizational performance.

STRATEGIES

- Align employee expectations with organizational strategy.
- Link awards and recognition to performance that contributes to achievement of organizational goals.
- Provide opportunities for workgroups to devise and implement improved methods of work performance.
- Determine and evaluate effective Copyright Office performance measures; train managers to use these measures and demonstrate results.

- Introduce workgroup analysis and measurement.
- Provide regular feedback on performance, including timely written evaluations accompanied by appropriate rewards or timely corrective action to address deficiencies.
- Conduct employee training on teamwork and on personal responsibility and accountability as elements of teamwork.
- Effectively use probationary periods to determine employment suitability.
- Establish and communicate clear, measurable individual performance requirements.

PERFORMANCE INDICATORS

Outcome 1: *Achieved or exceeded accomplishment of Office goals through improved individual and organizational performance.*

Performance Indicators	Representative Measures
Workgroup and individual performance	<ul style="list-style-type: none"> • Percentage of supervisors and staff with current performance plans aligned with Office plans • Percentage of supervisors and staff with current performance appraisals • Percentage of division managers/ divisions with current performance plans aligned with Office plans • Performance measures in place

EXTERNAL FACTORS

- No external factors have been identified.

LEADERSHIP AND KNOWLEDGE MANAGEMENT: *Ensure an integrated, strategic training and development program that builds needed leadership competencies.*

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 at their best. They must be educated about strategic planning and annual performance plans and be able to impart information to supervisors about how to manage the work to fulfill the mission and to staff about how to perform to achieve results. Leadership development programs that provide this kind of training and experience are necessary.

OUTCOMES

Outcome 1: Increased manager and staff demonstration of knowledge, skill, and leadership in the accomplishment of the Office’s goals and strategies.

STRATEGIES

- Ensure ongoing skills training.
- Encourage personnel to train for new opportunities and promotions.
- Implement improved managerial and supervisory skills training programs.
- Establish a program to train employees to become trainers (a “train the trainer” program).
- Implement cross-training programs.

PERFORMANCE INDICATORS

Outcome 1 · Increased manager and staff demonstration of knowledge, skill, and leadership in the accomplishment of the Office’s goals and strategies.

Performance Indicators	Representative Measures
Workforce training, development, and leadership education	<ul style="list-style-type: none">• Training sessions annually per employee• Employees participating in training and development activities• Establishment of a supervisor development program• Managers/supervisors completing supervisory training• Percentage of employees trained as trainers• Employees cross-trained

EXTERNAL FACTORS

- Increased statutory duties or other factors that affect workload could strain human resources in such a way as to limit the possibilities for conducting leadership and other training without having a consequent negative impact on productivity.