

# Strategic Plan 2008–2013

United States Copyright Office

*To promote creativity*



*The Congress shall have Power . . .  
To promote the Progress of Science . . . , by securing for limited Times  
to Authors . . . the exclusive Right to their respective Writings . . . .*

– Constitution of the United States, Article 1, Section 8

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Throughout this Strategic Plan, the word “copyright” is used to refer to registration of claims to copyright, mask works and vessel hull designs, and recordation of documents relating to these types of intellectual property.



# Introduction by the Register of Copyrights

This strategic plan covers fiscal years 2008–2013 and serves to document the Copyright Office’s goals in the coming years as well as to provide a roadmap for how those goals will be achieved and how success will be defined and measured along the way. At the same time, the Office’s goals and strategies as expressed in this plan support and are in alignment with the Library’s broader strategic plan.

While continuing to establish a high-level framework and guide for fulfilling the Copyright Office’s mission, this plan differs from its predecessor in two significant ways. First, the Copyright Office Human Capital Management Plan, previously a stand-alone document, is integrated into this strategic plan to provide for tighter linkage and alignment. Second, this plan covers the period during which the Office will fully implement wholesale changes to its operations following completion of a multiyear business process reengineering initiative.

Service to government remains the Office’s first strategic goal. The Office stands as the first line of support to the Congress, the executive branch, and the courts on issues related to copyright policy and regulations. Given the growing complexity of intellectual property issues and the challenges to copyright that an increasingly digital world presents, it is incumbent upon the Office to continually enhance and expand its expertise to ensure effective administration of the copyright law and all that it entails.

Public services form the Office’s second strategic goal. Reengineering to transform the Copyright Office from a paper-based to a web-based processing and services environment involved the development of online registration and records search systems, a redesign of the Office’s internal processes, and a reorganization of staff to align with the redesigned processes. These leading-edge information technology tools, process workflows, and organizational structures will fundamentally alter the way the Copyright Office has conducted business for decades and will dramatically improve the timeliness and quality of the Office’s core services to the public.

*Looking forward, I recognize intelligent planning as one of two components that are critical to the achievement of the Office’s mission. The second component is embodied in the tremendous dedication to public service that Copyright Office staff consistently demonstrate.*

Acquiring copyrighted works for deposit in Library of Congress collections is the Office's third strategic goal. Since 1870, copyright deposits have formed the bulk of the Library's unprecedented collections of books, sound recordings, photographs, motion pictures, and other creative works. Under this strategic plan, the Office will continue to strengthen its capacity to acquire copies of works in all formats, including digital works, and assist publishers and other copyright owners to understand their legal obligations under the copyright law.

Informing and educating the public on copyright issues serves as the Office's fourth strategic goal. Issues like peer-to-peer file sharing in the United States and piracy of intellectual property overseas underscore the vital need to educate people about the importance of a strong national and international copyright system and how such a system supports and sustains an important part of American economic and cultural life.

Human capital management encompasses a whole set of strategic goals within this plan. Succession planning and the effective recruitment and retention of high-quality employees are important activities for any organization. For the Copyright Office, which faces a large number of staff retirements in the coming years, these activities will assume critical importance. The Office will rely heavily on this strategic plan to manage human capital challenges effectively.

A strategic plan must lend itself to practical application in order to be useful. This strategic plan establishes direct links to the Office's annual performance plans, which in turn are tied to manager and supervisory plans and staff performance reviews. Thus, Office staff at all levels and in all occupations will find guidance for day-to-day decision making in this strategic plan.

This is both an exciting and a challenging time for the Copyright Office. As demands on creators, publishers, online service providers, and consumers of copyrighted works evolve at an unprecedented pace, the Copyright Office must be prepared to confront and adjust to new realities with ever-greater flexibility and resourcefulness. Looking forward, I recognize intelligent planning as one of two components that are critical to the achievement of the Office's mission. The second component is embodied in the tremendous dedication to public service that Copyright Office staff consistently demonstrate.

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



# United States Copyright Law and the Copyright System

## The Constitution and U.S. Copyright Law

### *The Constitution*

When America’s founders wrote into the Constitution a provision empowering the Congress to “promote the Progress of Science and useful Arts, by securing for limited Times to Authors and Inventors the exclusive Right to their respective Writings and Discoveries,” they implied that society is dependent on the creativity of its citizens. They understood that the American people’s creative genius would flourish when the fruits of that genius are protected for a sufficient time to ensure to each creator and publisher a reasonable recompense for the effort invested. This protection supports an intellectual property system in which creative works are protected and available for the benefit of our citizens. Today, copyright is a significant driving force in the U.S. economy.

### *U.S. Copyright Law*

The Congress of the United States established a strong copyright system through the laws in title 17 of the *United States Code*.

It is a U.S. constitutional principle that an author of a work has certain rights to his or her intellectual creativity for a limited period of time. Copyright is a form of protection for “original works of authorship,” including literary, dramatic, musical, architectural, choreographic, pantomimic, pictorial, graphic, sculptural, sound recording, and audiovisual creations. Copyright protection does not extend to any idea, procedure, process, slogan, principle, or discovery.

Over time, “copyright” has come to mean the exclusive rights granted by statute to authors for protection of their work. The owner of a copyright has the exclusive right to reproduce, distribute, and, in the case of certain works, publicly perform or display his or her work; to prepare derivative works; and to authorize others to engage in these same acts under specific terms and conditions. These exclusive rights are balanced by a limitation on their duration, which is generally the life of the last surviving author of a work plus 70 years. Compulsory licenses, fair use, and other exceptions allow for certain uses without

*The Copyright Office’s mission, vision, and strategy derive directly from the provisions of the copyright law and the historical role it articulates for the Office.*

permission. The law thus considers both the rights of copyright owners and the benefits to the public in the use of copyrighted works.

One of the first laws enacted by the newly formed Congress was the 1790 copyright law, which granted American authors the right to print, reprint, or publish their works (maps, charts, and books) for a period of 14 years and to renew for another 14. The law provided authors with exclusive rights as an incentive to create original works. At the same time, these rights were limited in order to stimulate creativity and the advancement of “science” (knowledge) by placing these works in the public domain after a limited time for everyone to use. In an 1831 revision, Congress extended the initial term of protection of copyrighted works to 28 years with the possibility of a 14-year extension. Over the years, Congress added other categories of works and expanded rights.

In 1870, Congress moved the copyright registration and deposit function from district courts to the Library of Congress, creating a centralized national copyright system to provide copyright services to the public and copyrighted works to the nation’s library. In 1891, Congress passed the first U.S. copyright law authorizing establishment of copyright relations with foreign countries.

The 1909 Copyright Act continued the long historical trend of expanding the scope and availability of copyright protection under federal law. It liberalized copyright provisions in many areas. For the first time, it authorized copyright registration for a number of categories of unpublished material. The act provided a compulsory license governing the mechanical reproduction of musical compositions, and a “for profit” limitation on the performance right. The stringency of formalities was limited to a degree by basing the securing of copyright on publishing with notice of copyright. Additionally, some minor changes reduced the harshness of the manufacturing provision and notice requirement. The duration of copyright was expanded by changing the renewal term from 14 to 28 years. Shortly after passage of the 1909 act, the law was amended to clarify that motion pictures were proper subject matter for copyright.

Congress undertook the major 1976 revision of the copyright law for two primary reasons: to address technological developments and their impact on what might be copyrighted, how works might be copied, and what constituted an infringement; and to bring the United States into accord with international copyright law, practices, and policies. The 1976 Copyright Act superseded previous copyright laws and extended the term of protection to life of the author plus 50 years or, in the case of “works made for hire,” for 75 years for published works and 100 years for unpublished works. For the first time, the fair use and first sale doctrines were codified, and copyright was extended to all unpublished works. Other legislation has since modified the copyright law to extend the term of copyright an additional 20 years and to address new technological issues.

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## Our Mission

The Copyright Office’s mission is to promote creativity by administering and sustaining an effective national copyright system. The registration and deposit of works under copyright protection have served three important purposes:



**Collect, preserve, and provide access to knowledge** · The U.S. Copyright Office ensures the Library's role as keeper of the mint record of American creativity and helps sustain the comprehensiveness of the Library's collections.

- The Copyright Office receives more than 1 million works for registration each year, ensuring that the Library remains a treasure house of the nation's literature, music, photography, motion pictures, sound recordings, computer programs, and other creative works.
- The close collaboration between the Library of Congress curators and the U.S. Copyright Office ensures that the Library's collections are kept up to date and are of maximum use to Congress and the nation. Under the mandatory deposit provisions of the copyright law, copyrightable works published in the United States are to be sent to the U.S. Copyright Office within three months of publication.
- In addition to contributing to the Library's collections, the U.S. Copyright Office is also the keeper of unpublished works submitted for copyright registration — works that without copyright registration would be lost to the nation.

**Spark imagination and creativity** · The purpose of the copyright law, administered by the U.S. Copyright Office, is to foster the creation of new intellectual works and their dissemination for the benefit of the American people and the world.

- By protecting the intellectual property of our nation's citizens — and granting exclusive rights to each creator for a defined period of time — the copyright law ensures that the incentives for continued creativity are maintained.
- A key role of the U.S. Copyright Office is assisting Congress in balancing the rights of creators with the need to have knowledge accessible in a democratic society. The Office provides nonpartisan, objective analysis that aids Congress in developing and considering legislation to help foster American creativity.
- Among its various responsibilities, the U.S. Copyright Office provides information and assistance to federal agencies and the judiciary on national and international copyright issues.

**Recognize achievement** · The U.S. Copyright Office provides the means for citizens to register and protect their intellectual achievements, thereby ensuring that the entire breadth of American creativity can be recognized.

- Through the registration of claims and the recordation of documents, the U.S. Copyright Office generates and sustains an ongoing public record of American creativity and achievement.
- The U.S. Copyright Office brings thousands of items not obtainable through conventional sources to the Library. Many valuable unpublished works, which would otherwise be unknown, are obtained through copyright registration.

## The Functions and Services of the U.S. Copyright Office

The Congress has ensured that the record of American intellectual creativity is preserved through placement of the Copyright Office in the Library of Congress, enabling the Library to select deposited works for its collections, benefitting the Congress and the American people.

The Copyright Office became a separate department of the Library of Congress in 1897. Since then, the Congress has charged the Copyright Office with progressively increasing responsibilities in administering the provisions of the copyright and related laws in title 17 of the *United States Code*. Thorvald Solberg was appointed the first Register of Copyrights. Eleven individuals have served in this capacity.

### Administration of the U.S. Copyright Law

Congress has given the Copyright Office the authority and responsibility for administering the nation's copyright and related laws. This responsibility includes the following:

**Registration of claims to copyright** · Copyright claimants submit works to the Office for registration. The Office examines the works to determine the presence of copyrightable authorship and to ensure that other legal and formal requirements have been met. When a work is registered, the Office issues a certificate of registration and creates a public record of the registration.

The law provides incentives to registration that make available to the owner certain benefits in U.S. courts. Authors of U.S. works must register before they can bring an infringement case in court. Authors of foreign works may go directly to the courts. Timely registration secures certain remedies in a legal action for copyright infringement, such as statutory damages and attorneys' fees; and registration ensures that there is a public record of ownership. In addition, the registration certificate is prima facie evidence that the factual claims made in the registration certificate are true and that the copyright is valid.

The Library of Congress may select copies of works submitted for registration for its collections or exchange program. Since 1870, copyright deposits have formed the core of the Library's "Americana" collections, and they continue to serve as the primary record of American creativity.

The Office's registration records help the public to find the owners of the rights in individual works and determine the term of protection.

**Recordation** · Documents relating to a copyright, including assignments and security interests, are submitted to the Copyright Office to create a public record of such actions. The Office verifies that the document is recordable, images the document, issues a certificate of recordation that is returned with the original document, and creates a public record. These records assist the public in tracking changes in ownership of copyrighted works and create a priority between conflicting transfers.

**Licensing** · The Office handles administrative provisions of the statutory licenses and obligations of the copyright law, among which are those involving secondary transmissions

by cable television systems and satellite carriers. For certain licenses, the Office collects specified royalty fees for distribution to copyright owners and examines the accompanying statements of account. The Office also accepts and reviews documents submitted pursuant to certain statutory licenses to determine that they meet the filing requirements.

**Acquisitions** · The copyright law includes a mandatory deposit provision that requires publishers to send copyrighted works published in the United States to the Copyright Office within three months of publication for possible inclusion in the Library's collections. While publishers send many works through copyright registration, this provision ensures that the Library can acquire for its collections those works that publishers do not submit for registration. The Office requests works under the mandatory deposit provision in response to requests from the Library's recommending officers, selection officers, and acquisitions librarians.

**Regulatory activity** · To administer the copyright law, the Congress has granted authority to the Copyright Office to issue such regulations as may be necessary for the effective discharge of its responsibilities included in the law.

### ***Policy and Legal Assistance***

The Copyright Office is the primary source in the U.S. government for legal and technical expertise on copyright matters. It assists the Congress, executive branch agencies, and the judiciary on copyright and related issues. Congress affirmed these functions in section 701 of the copyright law, as amended in 1998: to advise Congress on national and international issues relating to copyright and related matters; to provide information and assistance to federal departments and agencies and the judiciary on national and international issues relating to copyright and related matters; to participate in meetings of international intergovernmental organizations and meetings with foreign government officials relating to copyright and related matters, including as a member of United States delegations as authorized by the appropriate executive branch authority; to conduct studies and programs regarding copyright and related matters, the administration of the Copyright Office, or any function vested in the Copyright Office by law, including educational programs conducted cooperatively with foreign intellectual property offices and international intergovernmental organizations; and to perform such other functions as Congress may direct, or as may be appropriate in furtherance of the functions and duties specifically set forth in title 17.

**Congress** · As part of the legislative branch, the Office works closely with the Congress in providing objective, nonpartisan analysis and recommendations on national and international copyright issues. As Congress considers the complex copyright issues involved in the growth of digital technology and computer networks, it has tasked the Copyright Office with various responsibilities to address these issues.

**Executive branch agencies** · The Office regularly works side by side with executive branch agencies on copyright issues, particularly international matters. The Office participates

as a member of U.S. delegations in meetings of international organizations, multilateral negotiations, and bilateral consultations and negotiations.

**Judiciary** · Although the Office does not enforce the provisions of title 17, it may be involved in litigation in several ways. It can choose to intervene in a copyright infringement suit under section 411(a) in a case where registration has been refused. It may be sued under the Administrative Procedure Act. Or it may be asked to participate in litigation by (a) assisting the Department of Justice in preparing an amicus curiae brief in support of a particular position or in defending a particular action, or (b) by bringing a suit under section 407 to compel the deposit of a work.

### **Public Information and Education**

The Congress has given the Copyright Office the role of an office of public record. The Office creates records of registrations, recordations, and other copyright-related actions, and provides public access to them. The Office responds to public requests for information and provides reports and copies from these records.

With new digital and communications technologies, more people have the opportunity to use, copy, and distribute copyrighted works, and thus engage in activities that implicate copyright law. Consequently, there is a growing need for clear, accurate information about copyright law and Office practices. The Office engages in various outreach programs to inform the public on copyright issues.

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## **Organization of the Copyright Office**

The Copyright Office is one of the major service units of the Library of Congress. With public offices located at 101 Independence Avenue SE, Washington, DC, the Office occupies portions of the James Madison Memorial Building and employs more than 500 people. The Copyright Office is composed of the Office of the Register of Copyrights, Office of the General Counsel, Office of the Associate Register for Policy and International Affairs, Registration and Recordation Program, Administrative Services Office, Copyright Acquisitions Division, Copyright Technology Office, Information and Records Division, Licensing Division, and Receipt Analysis and Control Division.

The Office receives approximately 550,000 claims to copyright, mask works, and vessel hull designs each year. As of fiscal year 2007, the Copyright Office had made 33 million registrations. The Office records about 13,000 documents relating to copyright every year, representing hundreds of thousands of titles. The Copyright Office annually acquires more than a million copies of works for the collections of the Library of Congress. Of these copyrighted works transferred to the Library of Congress, more than half are received through the mandatory deposit provisions of the copyright law. Divisions of the Copyright Office respond to more than 300,000 nonfee public information inquiries each year. The Office also collects hundreds of millions of dollars annually in cable television, satellite carrier, and Audio Home Recording Act statutory royalties for later distribution to copyright owners, authors, and performers.

The long-term outcome of the Copyright Office’s work and the strategic directions taken in the period of this plan will support the constitutional goal of encouraging American creativity, thereby fostering the educational opportunity, cultural heritage, and economic prosperity such creativity engenders.

## Plan Overview

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The Copyright Office’s values, mission, vision, and strategy derive directly from the provisions of the copyright law and the historical role the law articulates for the Office.

### VISION

The U.S. Copyright Office — champion of a balanced copyright system, primary copyright advisor to Congress, trusted source of information on copyright for federal agencies and courts, and provider of copyright services in an electronic age.

### MISSION

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

### CORE VALUES

Service	Analyze our customers’ needs and make every effort to meet them. Continually strive for process improvement.
Knowledge	Excel in gaining, maintaining, and imparting expertise on the copyright law and its administration.
Integrity	Adhere to the highest ethical standards in a unified and consistent manner.
Respect	Treat customers and staff with respect, fairness, and tolerance on a professional and personal level.

## SUMMARY OF THE STRATEGIC GOALS

Service to Government	Provide and enhance timely quality service to the Congress, the executive branch, and the courts to address issues involving copyright policy and law.
Public Services	Promote appropriate protection and use of copyrighted works by providing timely easy-to-use public services.
Acquisition of Copyrighted Works	Support Library of Congress service to Congress and the American people by providing timely acquisition of copyrighted works required by the Library.
Information and Education	Improve public understanding of copyright and related laws, principles, and services.

## SUMMARY OF THE HUMAN CAPITAL MANAGEMENT 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.
Organizational Alignment and Workforce Planning	Design and implement an effective organizational structure and workforce to carry out our mission and goals.
Talent	Recruit, hire, develop, and retain employees with the necessary skills for mission accomplishment.
Diversity	Foster an environment that is attractive to a diversity of individuals.
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.
Leadership and Knowledge Management	Ensure an integrated strategic training and development program that builds needed leadership competencies.

# 2 The Strategic Plan

## Strategic Goals

**SERVICE TO GOVERNMENT:** *Provide and enhance timely quality service to the Congress, the executive branch, and the courts to address current and emerging issues involving copyright policy and law.*

Copyright policy today faces tremendous challenges in meeting the rapidly evolving demands of our digital world and the needs of creators and users of copyrighted works. The Copyright Office works directly with the Congress, the executive branch, and the courts to provide the expertise needed to respond to these issues using the Office's experience in administering the copyright law.

In keeping with the Copyright Office's role to advise Congress and to provide information and assistance to federal agencies and to the judiciary on copyright matters (17 U.S.C. §701), this goal focuses on support for the U.S. government to carry out its constitutional function as stated in Article 1, Section 8.

The rapid development of the Internet and digital technology and their operation across national boundaries have created new challenges to copyright law. Digital and communication technologies have allowed more people access to America's creative output. They have also challenged the nation's copyright framework. Works in digital format are easy to copy. Extensive and growing use of computer networks makes very broad distribution simple. The Digital Millennium Copyright Act (1998) addressed some of these challenges, yet new challenges continue to arise. They will be met through new business models, new methods of enforcement, new legal challenges, and new legislation.

The Copyright Office must provide advice on how to deal with other situations that impede use or inhibit protection. These include such issues as the problem of "orphan works" — works whose owners cannot be located, thus making any negotiation of use and compensation impossible.

The Copyright Office also offers advice to Congress on multilateral agreements and works with executive branch agencies to promote copyright protection throughout the world. Protection against infringement of a U.S. copyrighted work in another country depends primarily on that country's laws. Most countries offer copyright protection to foreign works under the aegis of international copyright treaties and conventions and on the basis of national treatment, where foreign works should receive the same protection as domestic works.

Some countries harbor lucrative piracy sectors that copy U.S. works without permission. The Copyright Office works with executive branch agencies such as the U.S. Trade Representative and Customs and Border Protection to ensure that U.S. trade policy targets the copyright laws and enforcement of these countries, and that illegally copied works do not enter the U.S. market.

The Copyright Office's activities to assist in the protection of U.S. copyrighted works abroad advance the economic welfare of the United States by encouraging the continued creation and dissemination of works to the public throughout the world.

In addition to working through multilateral organizations such as the World Intellectual Property Organization, a United Nations specialized agency, the United States is increasing its promotion of free trade agreements with individual countries and groups of countries. These agreements contain extensive provisions on intellectual property and enforcement.

This goal, therefore, is to help Congress and the federal government address these challenges so as to maintain an appropriate balance between owners' rights and the needs of users. In striking this balance, the Copyright Office must ensure that the incentives for continued creativity are maintained.

#### **OUTCOMES**

**Outcome 1:** Increased recognition of the Copyright Office as government's resource of choice for expert advice on copyright and related issues.

**Outcome 2:** More effective protection of U.S. copyrighted works internationally.

#### **STRATEGIES**

- Sustain the highest standards of copyright regulatory and administrative stewardship on the nation's behalf.
- Assist congressional and government understanding of domestic issues affecting compliance with copyright law.
- Assist and encourage other countries in their adherence to international copyright treaties and agreements with intellectual property provisions.
- Assist and encourage other countries in their implementation of effective national laws that will ensure protection of U.S. copyrighted works and compensation to their creators.
- Improve proactive delivery of advice and information to Congress and government agencies.
- Lead in the provision of expert assistance on digital technology and other issues in light of fundamental copyright principles and the requirements of the law.

#### **PERFORMANCE INDICATORS**

The Copyright Office uses quantifiable performance indicators and measures, insofar as possible, to demonstrate the degree to which this Copyright Office goal assists the Congress, executive branch, and the courts to address challenges to copyright policy and law.



Performance indicators identify what the Copyright Office will evaluate in determining its progress toward achieving this goal and its outcomes. The representative measures identify some of the ways the Office may measure the progress of each indicator. The list of representative measures is meant only as a sample of the measures that various units in the Office will include in their annual planning. The performance indicators and representative measures for this goal are below.

**Outcome 1: *Increased recognition of the Copyright Office as government’s resource of choice for expert advice on copyright and related issues.***

Performance Indicators	Representative Measures
Assistance and expert advice on copyright to U.S. government agencies	<ul style="list-style-type: none"> <li>• Copyright-related legislation on which the Office provided assistance</li> <li>• Testimony</li> <li>• Reports</li> <li>• Requests for analysis and assistance</li> <li>• Litigation participation</li> <li>• Regulations issued</li> </ul>

**Outcome 2: *More effective protection of U.S. copyrighted works internationally.***

Performance Indicators	Representative Measures
Assistance and expert advice to U.S. and foreign government agencies and international organizations	<ul style="list-style-type: none"> <li>• Participation in delegations</li> <li>• Multilateral and bilateral negotiations and treaties</li> <li>• Requests for analysis and assistance</li> <li>• Special 301 reviews</li> </ul>

**EXTERNAL FACTORS**

- The high economic impact of creative industries will continue to generate ownership, distribution, and use issues that will result in legislation, regulation, and litigation.
- Rapid change and development in technology will deeply affect the nature and number of issues before Congress, U.S. government agencies, the courts, and in the international arena. The ability to achieve these goals largely rests on whether the resulting laws, regulations, court decisions, and international agreements are effective in defining and balancing intellectual property rights and use of creative works in the burgeoning digital environment.

**PUBLIC SERVICES: *Promote appropriate protection and use of copyrighted works, mask works, and vessel hull designs by providing timely, easy-to-use public services.***

The copyright law gives the Copyright Office responsibility for providing a national system and public records of copyright registration and document recordation. It also requires the Office to administer statutory licenses and obligations. These services foster a creative output that sustains an important part of American economic and cultural life.

Copyright owners, users of copyrighted works, copyright industries, libraries, and members of the public rely on Copyright Office records. These records assist users of copyrighted works to find current copyright ownership information and to determine the copyright term of a work. The availability of this information promotes the lawful use of such works.

The greater the number of works registered with the Copyright Office, and the more transfers of ownership recorded, the more complete is our national record of ownership of copyrighted works. Timely processing of registrations and recordations allows the public record to be made available sooner.

The public is now able to conduct a growing amount of its business electronically. Many expect and demand easy-to-use online capabilities. Registration is the single largest Copyright Office business process, to which the vast majority of the Office's staff and budget are dedicated. With online registration, registrants have an easier, less paper-intensive procedure that saves time and provides for online updates on the status of their registration claims.

Ease of filing and timely processing also allow for improved collection and distribution of royalty payments under the copyright law's statutory licenses and obligations, providing an economic stimulus to creative industries. Those entities that are subject to the terms of certain statutory licenses and obligations must file statements of account with the Copyright Office and pay royalty fees for future distribution to eligible copyright owners. Statements of account have historically been filed in paper form. All royalty fees, on the other hand, are deposited by electronic funds transfer. The development of electronic filing of statements of account during this plan will increase efficiencies for the filers, the Office, and the royalty recipients, and make licensing documents more rapidly and readily available to copyright owners and other interested parties.

The Copyright Office is an office of record for information on copyright registrations, transfers of ownership, security interests, and other actions. Copyright Office records provide the most complete and accurate accounting of copyright information in the world, including more than 32 million registrations since 1790, thousands of recorded documents, and forms for payment of licensing fees. Many records from 1978 to the present are searchable through the Copyright Office website. Pre-1978 records are in paper form and are not available online. The public must then come personally to the Copyright Office, pay a searching fee to the Office, hire professional searchers and law firms, or search in U.S. government depository libraries for those records that appeared in printed volumes of the *Catalog of Copyright Entries*. Online availability of all or a larger portion of copyright

records would provide users with immediate access to these records in a searchable form, providing information to facilitate the lawful use of creative works.

Technology provides new opportunities to improve the timeliness of these public services and increase their online availability. The Office implemented reengineered processes in 2007, providing greater electronic delivery of copyright services.

#### OUTCOMES

**Outcome 1:** Increased use and timeliness of copyright services to the public.

**Outcome 2:** Improved ability of users and owners to engage in mutually beneficial copyright transactions.

#### STRATEGIES

- Provide products and services that meet the needs of owners and users of copyrighted and other protected works.
- Improve customer satisfaction with Copyright Office services.
- Improve record-keeping functions to serve customer needs, including access to and currency of ownership information.
- Increase the number of historical copyright records accessible online.
- Establish and expand online services to the public.
- Learn what customers want and need from Copyright Office services.

#### PERFORMANCE INDICATORS

Outcome 1: <i>Increased use and timeliness of copyright services to the public.</i>	
Performance Indicators	Representative Measures
Online services	<ul style="list-style-type: none"> <li>• Services appropriate to online delivery that are actually delivered in that manner</li> <li>• Level of use</li> <li>• Customer satisfaction</li> </ul>
Product delivery	<ul style="list-style-type: none"> <li>• Timeliness</li> <li>• Level of use</li> <li>• Customer satisfaction</li> </ul>
Availability	<ul style="list-style-type: none"> <li>• Paper records digitized</li> <li>• Records indexed</li> <li>• Number accessed</li> </ul>

*Outcome 2: Improved ability of users and owners to engage in mutually beneficial copyright transactions.*

**Performance Indicators**

**Representative Measures**

Transaction facilitation

• Access to rights information

**EXTERNAL FACTORS**

- Terrorism and other security issues, such as mail disruptions on Capitol Hill because of delivery of suspicious substances and disease or delays and damage caused by protective irradiation of mail, affect the Copyright Office’s ability to provide services in a timely and effective way.
- Success in achieving customer satisfaction requires that customers communicate to the Office their needs and desired outcomes for services.
- Rapid technological and software changes will affect how well the Office’s systems serve the customer and how easily those systems can be updated to better serve the customer.

**ACQUISITION OF COPYRIGHTED WORKS: *Support Library of Congress service to Congress and the American people by providing timely acquisition of copyrighted works required by the Library.***

The Office continues to be a major source of works for the collections of the Library of Congress through registration and the mandatory deposit provisions of the copyright law. Under these provisions, publishers are required to deposit in the Library two copies of a work within three months of publication in the United States. Copyrighted works received through registration and mandatory deposit are the Library’s main source of works by American authors. Mandatory deposit provisions also apply to foreign works under certain circumstances. The Copyright Office also requests works not yet received but wanted for the collections.

Increasing numbers of works are being created and distributed in digital form. Many works are made available only online. To sustain a universal collection, the Library must acquire the most current and historically valuable works now being created and disseminated only in digital form. Acquisition of digital works presents many challenges. The Copyright Office is a significant contributor to the effort to develop and realize the Library’s vision of a vibrant program of digital acquisition, and it assists the Library in copyright issues related to access and preservation.

One of the rationales that led Congress to create a centralized copyright function in the Library of Congress was the availability of deposited works for the Library’s collections. These works support the Library’s service to Congress and the nation. There is a continuing need to inform publishers of the Copyright Act’s mandatory deposit provisions and how to comply with them as new types and formats of works are being made available to the public. Under this strategic plan, the Office will strengthen its capacity to acquire copies

of works in all formats, including digital works, and assist publishers and other copyright owners to understand their legal obligation to deposit copyrighted published works. This strengthened capacity will foster continuing and improved acquisition of copyrighted works for the collections of the Library of Congress.

Content owners are producing creative works in many formats and adding new ones every day. Section 407 of the copyright law specifies deposit of the “best edition” of a work for use by the Library of Congress, but it does not limit the formats covered by the deposit provisions. The Library determines the best edition, and by regulation can specify any format as the best edition. Many of the new formats are digital. The registration and deposit of digital works forward the goals of the Library’s Digital Strategic Plan.

#### OUTCOMES

**Outcome 1:** Sustained and improved copyright contributions to the Library’s collections.

#### STRATEGIES

- Improve the Library’s ability to rely upon the Copyright Office for copyrighted works the Library wants for its collections.
- Ensure that knowledge and creativity are sustained for future generations through active encouragement of creation of new works and deposit of completed works.
- Increase the acquisition, through registration and mandatory deposit, of works created and disseminated digitally or online in a variety of formats.
- Improve the acquisition, through registration and mandatory deposit, of works created and disseminated in analog formats.
- Broaden publishers’ understanding of mandatory deposit provisions and their obligations under those provisions.

#### PERFORMANCE INDICATORS

<b>Outcome 1: <i>Sustained and improved copyright contributions to the Library’s Americana collections.</i></b>	
<b>Performance Indicators</b>	<b>Representative Measures</b>
Mandatory deposit of materials	<ul style="list-style-type: none"> <li>• Publishers who deposit voluntarily</li> <li>• Publishers who comply with demands</li> <li>• Deposited items</li> </ul>
Contributions to the Library	<ul style="list-style-type: none"> <li>• Deposit copies transferred</li> <li>• Estimated value of transfers</li> <li>• Acquisitions timeliness</li> </ul>

## EXTERNAL FACTORS

- The growing number of works that exist only in digital form will affect how the Library acquires and stores materials for its collections.

## **INFORMATION AND EDUCATION: *Improve public understanding of copyright and related laws, principles, and services.***

Education about copyright issues has become increasingly urgent in the digital age as more and more people are able to engage in activities that implicate copyright. The Copyright Office will strive to reach new audiences with a message about the importance of a strong national and international copyright system.

The Internet and digital technologies have dramatically affected the public perception of copyright law. File-sharing services and peer-to-peer networks that foster illegal copying and distribution have influenced a large audience, including children and teenagers.

Broader copyright education efforts are required. When members of the public understand the principles and values of copyright law, they will be more likely to comply with the law. Initiatives to students and other audiences must be increased. The Office will also determine the most effective means of reaching these audiences and will seek out the best ways to provide education on copyright.

The purpose of this goal is to engender a more widespread public understanding and discussion of copyright and greater respect for, as well as adherence to, copyright law.

## OUTCOMES

**Outcome 1:** Increased usage of the national copyright system and public understanding of its value.

## STRATEGIES

- Promote public respect for copyright principles, compliance with copyright laws, and use of copyright services.
- Respond actively to owners' and users' needs for knowledge about copyright and related laws, principles, and services.
- Reach more people in selected audiences with a message on the importance of copyright and related laws and principles as a means of promoting creativity.
- Increase the number of media used to convey copyright principles.

## PERFORMANCE INDICATORS

Outcome 1: *Increased usage of the national copyright system and public understanding of its value.*

Performance Indicators	Representative Measures
Audience	<ul style="list-style-type: none"><li>• Audience types</li><li>• Audience sizes</li><li>• Children reached</li></ul>
Media	<ul style="list-style-type: none"><li>• Website use</li><li>• Visitors to the Office exhibit</li><li>• Media used</li><li>• Customer feedback</li></ul>

## EXTERNAL FACTORS

- Changes in demographics of the United States population will influence the nature of the audiences to be addressed.



## Workforce and Organization

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### Human Capital Management

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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

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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.

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## 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.

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## 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>	
<b>Performance Indicators</b>	<b>Representative Measures</b>
Planning documents	<ul style="list-style-type: none"> <li>• Explicit alignment language relating to human capital</li> </ul>
Manager and individual performance plans	<ul style="list-style-type: none"> <li>• Alignment with strategic and annual plans</li> </ul>

#### 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
Improvements aligned	<ul style="list-style-type: none"><li>• Percentage of supervisors and staff with current performance plans aligned with Office plans</li><li>• Percentage of division managers/divisions with current performance plans aligned with Office plans</li><li>• Percentage of employees with current individual development plans aligned with Office plans</li><li>• Training and development activities aligned with Office plans</li></ul>



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

Performance Indicators	Representative Measures
Copyright Office goals/outcomes/strategies	<ul style="list-style-type: none"><li>• Percentage of specific annual productivity targets achieved</li></ul>



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

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






## 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**

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

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

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

Performance Indicators	Representative Measures
Workforce development and succession planning	<ul style="list-style-type: none"> <li>• Percentage of employees who are cross-trained</li> <li>• Percentage of employees with current individual development plans</li> <li>• Employees participating in training and development activities</li> <li>• Identification of strategies to address skill gaps</li> <li>• Establishment and maintenance of a service unit succession plan</li> </ul>

**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"> <li>• Diversity of applicants and selectees for vacancies</li> <li>• Diversity of selections for professional development opportunities</li> <li>• Staff completing affirmative-action programs and transitioning to targeted critical positions</li> <li>• Diversity recruitment sources for every vacancy announcement posted</li> </ul>

**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"> <li>• Percentage of supervisors and staff with current performance plans aligned with Office plans</li> <li>• Percentage of supervisors and staff with current performance appraisals</li> <li>• Percentage of division managers/ divisions with current performance plans aligned with Office plans</li> <li>• Performance measures in place</li> </ul>

**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.*

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

**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.



# Moving Forward

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## Implementing the Plan

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In 2006 the Library of Congress implemented a structured Planning, Budgeting, and Program Performance Assessment System. This system serves as the means of executing the Copyright Office's Strategic Plan. It encompasses strategic and annual planning; fiscal planning and budget formulation based upon program requirements; financial execution that supports implementation of the annual program plan; quarterly and annual assessments of accomplishments in relation to stated goals and targets; and accountability of management and staff to achieve promised results by linking annual organization plans to the individual performance plans of executives, managers, supervisors, and staff.

This new strategic plan for fiscal years 2008–2013 must maintain sufficient flexibility to take advantage of changing circumstances. As with any strategic plan, this one will be revisited to allow for mid-course adjustments and changes as events unfold.

In making resource allocation decisions, the Copyright Office will be guided by the strategic and annual plans of the Library and the Copyright Office and by the statutory requirements of the Copyright Office's mandate.

## Strategic Plan Operating Assumptions

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The Copyright Office's mission statement will remain essentially unchanged throughout the five fiscal years covered by this strategic plan, but technology will drive rapidly evolving changes in how the mission is accomplished.

- Congress will continue to provide timely guidance as to its expectations and will provide resources to execute those expectations.
- The Reengineering Program will be completed according to the current implementation plan and will bring the expected benefits.
- Copyright claims will continue to arrive at the present rate of approximately 550,000 per year.
- Deposit of copyrighted works will continue to be a major source of material for the Library's Americana collections.
- An increasing percentage of works will be deposited in electronic form.

- A significant percentage of the Office’s current workforce will be eligible for retirement at any given time.
- The Library will complete construction of a new facility to store copyright deposits at Fort Meade.

## Evaluations and Scheduled Updates

### *Evaluations of Strategy*

The Copyright Office has used and will continue to use a number of resources to evaluate its strategic direction, such as

- areas of legislative concern and action on copyright matters;
- publications and studies on copyright issues;
- performance on annual program performance plans; and
- public feedback on services.

The Library of Congress Strategic Planning Office provided assessments of the Copyright Office’s goals and objectives for this 2008–2013 plan.

### *Methods of Review and Revision*

The Office will use three methods of review and revision to update the plan.

- **Annual reviews** · As the Copyright Office executes its annual performance plans supporting this strategic plan, it will conduct quarterly program reviews to determine and report on progress in achieving annual strategies. As long as deviations from the annual performance plans are minimal, no revisions to this strategic plan will be necessary. At the end of each fiscal year, the Office will conduct a year-end program review, at which time the Register may direct appropriate adjustments to the strategic plan. These adjustments will typically be minor unless some aspect of attaining the strategic plan is clearly in jeopardy or the evaluative criteria above require a change of direction. In addition to minor adjustments to the strategic plan, the Register will identify modifications needed to the annual performance plans being executed, the annual plans that are the basis for the budget request being reviewed by the Congress, and/or the annual plans about to be created.
- **Mid-plan** · Major review of the plan will be conducted during fiscal year 2010 at the mid-point of the plan. This review may entail “mid-course corrections,” with the possibility of a major revision if significant strategic shifts have occurred.
- **Major revision** · During fiscal years 2011–2012, the Office will undertake the next major revision/rewrite covering the next strategic planning period, synchronizing with the development of a new Library of Congress strategic plan.

## **Integrating the Plan into Copyright Office Management Efforts**

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Managers throughout the Office will use this plan's strategic goals and objectives and their organization's work plans to develop measurable annual goals and targets. The resulting annual performance plan serves as the basis for detailed planning and coordination of support requirements among organizations. The annual goals and targets will form the basis for individual annual performance plans wherever such plans are required by management within the organization.

## **Reporting to Stakeholders**

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The Office's annual performance and accountability report (*Annual Report of the Register of Copyrights*), articles in Copyright Office internal publications, the Office's intranet, and staff meetings will provide the basis for reporting progress to stakeholders. Additionally, the Office will distribute to the stakeholders the changes made to the Strategic Plan as a result of annual program reviews and the mid-course review.

# 5 Appendices

## A. Stakeholder Roles and Responsibilities

To achieve this plan's strategic goals and objectives, stakeholder commitment is required. The commitment must begin at the top. Senior management must communicate its support for implementing the Strategic Plan and its human capital management component. The goals and objectives of this Strategic Plan and the annual plans that arise from it must be incorporated into managerial, supervisory, and staff performance plans.

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

- Maintain commitment to the Strategic Plan and communicate that commitment.
- Provide accountability for implementation of the Strategic Plan.

### *Senior Managers and Supervisors*

- Provide guidance and direction for the strategic planning effort.
- Implement goals and strategies in their areas.
- Communicate the strategic plan to supervisors and staff under their supervision.
- Identify potential impediments and opportunities to achieving goals and strategies.

### *Employees*

- Identify and understand their link to the strategic plan.
- Perform their duties with a focus on the goals and strategies of the plan.
- Provide feedback.

### *Unions*

- Collaborate with management to implement strategies.
- Identify and resolve issues through consultation and/or collective bargaining.

### *Copyright Office Training Coordinator*

- Implement training plan.

- Conduct training classes.
- Monitor and identify training needs.
- Maintain skills bank.

### *Library of Congress Infrastructure Support Units*

- Provide infrastructure support for the Copyright Office’s annual and multiyear goals, strategies, and targets, where the Office requests such support.

## **B. Links to the Library of Congress Strategic Plan**

COPYRIGHT OFFICE STRATEGIC GOALS	LIBRARY OF CONGRESS STRATEGIC GOALS
Service to Government	<ul style="list-style-type: none"> <li>• Customers</li> <li>• Outreach</li> <li>• Content</li> </ul>
Public Copyright Services	<ul style="list-style-type: none"> <li>• Customers</li> <li>• Content</li> </ul>
Acquisition of Copyrighted Works	<ul style="list-style-type: none"> <li>• Content</li> </ul>
Information and Education	<ul style="list-style-type: none"> <li>• Customers</li> <li>• Outreach</li> </ul>
HUMAN CAPITAL GOALS	LIBRARY OF CONGRESS STRATEGIC GOALS
Strategic Alignment	<ul style="list-style-type: none"> <li>• Organization</li> </ul>
Organizational Alignment and Workforce Planning	<ul style="list-style-type: none"> <li>• Organization</li> <li>• Workforce</li> </ul>
Talent	<ul style="list-style-type: none"> <li>• Workforce</li> </ul>
Results-Oriented Performance Culture	<ul style="list-style-type: none"> <li>• Workforce</li> </ul>
Leadership and Knowledge Management	<ul style="list-style-type: none"> <li>• Workforce</li> </ul>

## Copyright Office Contact Information

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### Street Address

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

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

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

Staff members 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 24 hours a day.

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

### NewsNet

Subscribe to the Copyright Office's free electronic mailing list via the Copyright Office website at [www.copyright.gov](http://www.copyright.gov). Click on "Email updates."





# Copyright

United States Copyright Office

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