

The Library of Congress  
*Office of the Inspector General*

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## Library-wide

*Telework Program Requires  
Stronger Guidance and Oversight*

Audit Report No. 2010-PA-102  
June 2011

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UNITED STATES GOVERNMENT

LIBRARY OF CONGRESS

**Memorandum**

*Office of the Inspector General*

**TO:** James H. Billington  
Librarian of Congress

June 13, 2011

**FROM:** Karl W. Schornagel  
Inspector General

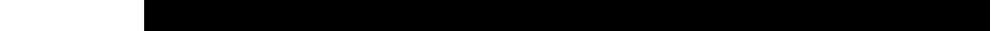
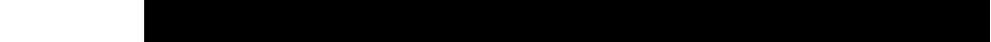
**SUBJECT:** *Telework Program Requires Stronger Guidance and Oversight*  
Audit No. 2010-PA-102

This transmits our final report summarizing the results of the Office of the Inspector General's audit of the Library's Telework Program. The executive summary begins on page *i* and our recommendations appear on pages 9 to 17. Based on the written comments to the draft report, we consider all of the recommendations resolved except for I.5 and I.6. Please provide, within 30 calendar days, an action plan addressing implementation of the recommendations, including an implementation date, in accordance with LCR 2023-9, *Rights and Responsibilities of Library Employees to the Inspector General*, §6.A. The report will be redacted for release to the public.

We appreciate the cooperation and courtesies extended by officials of Human Resources Services, Information Technology Services, the Office of Security and Emergency Preparedness, and service/support units' staff responsible for overseeing the Telework Program.

cc: Chief of Staff  
Chief of Support Operations  
Director, Office of Security and Emergency Preparedness

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## ▶▶ EXECUTIVE SUMMARY

Telework is a work arrangement in which an employee regularly performs officially assigned duties at home or another worksite convenient to the employee's residence. Approximately 12 percent of the Library's permanent staff teleworked in June 2010 and the percentage is increasing. We performed this audit of the Library's Telework Program to assess the program's controls, IT hardware and security requirements, and integration into the Library's Continuity of Operations Plan. For the most part, the Library has effectively implemented telework best practices and guidance. However, a more efficient telework program could be achieved through a Library-wide management approach that includes 1) ensuring telework fits relatively seamlessly into the Library's job streams and is cost effective, and 2) more effectively managing program performance. Summaries of significant issues we identified during our audit follow.

**Library Following Best Telework Practices**—The Library has generally implemented 17 of the 25 Government Accountability Office's key practices for a successful telework program. To enhance control further, we recommend that the Library, among other things, 1) determine if a Telework Coordinator would add value to the program, 2) collect data on, and evaluate the costs and benefits of, teleworking to determine whether it provides a cost-effective means to perform specific work requirements, 3) develop a telework health and safety checklist, 4) develop a mandatory interactive telework training program, and 5) address the issue of allowing certain sensitive data to be taken offsite by teleworkers.

**Telework is a Benefit, not an Entitlement**—The Library should not produce a certain number of teleworkers simply to satisfy the concept of telework or to reward staff. Supervisors are not fully ensuring the selected work is appropriate, measurable, does not disrupt work processes, and does not entail undue expenses for equipment, setup, or support. We observed that teleworking by Library Services Catalogers imposed additional work on other units. We recommend that the Library 1) review positions to determine if they are prone to telework without creating an undue additional burden on other areas, 2) ensure that only positions prone to teleworking

are offered this benefit, and 3) institute policies requiring the availability of teleworkers by email, telephone, and in person if required.



**The Library Needs to More Effectively Incorporate Telework into its Continuity of Operations Plan (COOP)**—The Library has not periodically conducted exercises or tests to evaluate the telework abilities of staff during a COOP event. Further, many supervisors expected to work during a COOP event are not regularly teleworking and do not have a telework agreement as recommended by the Office of Personnel Management. We recommend that senior Library management incorporate telework scenarios in COOP exercises and require employees expected to telework during a COOP event to have in place a telework agreement and practice for such an event.

Management concurred or partially concurred with 10 of our 11 recommendations. However, management noted that implementing most of our recommendations would require initiating negotiations with the Library's three labor organizations and then bargaining to agreement prior to implementation.

## ▶▶ BACKGROUND

A March 2008 study by the independent National Science Foundation and Telework Exchange, a public-private partnership, describes telework as a “win-win-win for managers, employees, and the environment.”

Telework is a work arrangement in which an employee regularly performs officially assigned duties at home or other worksites geographically convenient to the employee’s residence.<sup>1</sup> Laws encouraging telework arrangements for federal employees have been in effect for over a decade. On December 9, 2010, the President signed into law H.R. 1722, the “Telework Enhancement Act of 2010,” which became Public Law 111-292, aimed at increasing telework in the federal government.

Approximately 12 percent of the Library’s permanent staff teleworked from June 6-12, 2010 (pay period 12). This compares favorably with the most recent statistics available on government-wide teleworking, which indicate that about 10.4 percent of eligible federal employees teleworked in 2009. The percentage of Library staff approved for telework is likely to be on the rise because the Copyright Office, Congressional Research Service (CRS), and the Law Library all initiated telework programs in 2010.

### *Library’s Telework Policies, Objectives, and Procedures*

Library of Congress Regulation (LCR) 2014-8, *Telework (Working Offsite)*, specifies the policies, procedures, and circumstances under which Library staff members are permitted to telework. It applies to all Library employees except for bargaining unit members of the Congressional Research Employees Association (CREA)<sup>2</sup> and Guild.<sup>3</sup> An employee’s participation in the program is subject to three factors: 1) an employee must be performing at a fully satisfactory level and must not have any conduct issues which would negatively affect a teleworking arrangement, 2) an employee must demonstrate that he or she can perform the tasks selected for telework with minimal supervision, 3) tasks identified for program work must be suitable for teleworking (i.e., portable, easy to measure, etc.).

<sup>1</sup> Telework is also known as “work at home,” “flexible work,” and “telecommuting,” among other references.

<sup>2</sup> CREA offsite work is governed by Article 25, §25 of the Library’s Collective Bargaining Agreement (CBA) with CREA.

<sup>3</sup> Guild offsite work is governed by Article 38 of the CBA with the Guild.

The Office of Personnel Management (OPM) suggests that the manager and teleworker enter into a written agreement for every type of telework. The Library uses two different forms to document such agreements. Library of Congress Form 142 (see Appendix A) is used by most employees who seek to participate in the program, including those who are members of AFSCME Locals 2910 and 2477. The other agreement form is the *Request for Telework* form which CREA members use.

#### *Telework IT Hardware and Security Requirements*

Teleworking assignments often require remote access to the Library's secure information technology (IT) networks. To address the risk of unauthorized access and ensure the networks' security, the Library's Information Technology Services (ITS) requires an encrypted connection between the Library and the teleworker's computer.

#### *Telework and Continuity of Operations Plan*

Teleworking is a critical capability for a Continuity of Operations Plan (COOP). Staff who are identified as essential and have secure connections to the Library's networks are able to continue working offsite during a wide range of emergencies that could shutdown Library headquarters. Additionally, ITS has provided "essential staff" with "remote desktop access"<sup>4</sup> capability. The ITS *Pandemic - Continuity of Operations Plan User Guide* provides guidance for employees on their IT activities and responsibilities when working away from their primary work locations in Library facilities.

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<sup>4</sup> A remote desktop access solution gives a teleworker the ability to remotely control a particular desktop computer, most often the user's own, from a telework client device. The teleworker has keyboard and mouse control over the remote computer and sees that computer's screen on the local telework client device's screen. Remote desktop access allows the user to access all of the applications, data, and other resources that are normally available from their computer in the office.

## ► OBJECTIVES, SCOPE, AND METHODOLOGY

The objectives of this audit were to determine whether the Library:

1. has implemented appropriate management controls in the Telework Program;
2. has effectively implemented the telework best practices recommended by the Government Accountability Office (GAO) and OPM;
3. is following guidance established by the Commerce Department's National Institute of Standards and Technology (NIST) on security protection for telework IT equipment; and
4. has effectively integrated telework into its COOP.<sup>5</sup>

To address our first objective, we interviewed officials in ITS, Human Resources Services (HRS), the Office of Security and Emergency Preparedness (OSEP), and the Library's three labor organizations. We reviewed laws, regulations, policies, procedures, and collective bargaining agreements (CBAs) applicable to the Library's telework program. Our criteria were OPM's *Guide to Telework in the Federal Government* (OPM-VI-1), GAO's *Guidelines for a Successful Telework Program*,<sup>6</sup> and agency-specific telework criteria from the U.S. Patent and Trademark Office (USPTO).<sup>7</sup>

To address our second objective, we randomly selected 83 of 444 Library teleworkers as detailed in the Library's Web Time and Attendance system (WebTA) from pay period 12 in 2010. Our sample statistically represents a 90 percent confidence level with a margin of error plus or minus five

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<sup>5</sup> The Federal Emergency Management Agency's Federal Continuity Directive defines COOP planning as "an effort within individual agencies to ensure they can continue to perform their "Mission Essential Functions" and "Primary Mission Essential Functions" during a wide range of emergencies, including localized acts of nature, accidents, and technological or attack-related emergencies." For this report, we also include pandemic health crises and other events that might shut down agency operations.

<sup>6</sup> *Key Practices to Increasing Federal Telework*, Statement of Christopher Mihm, Managing Director, Strategic Issues, GAO-04-950T, July 2004.

<sup>7</sup> Telework Exchange<sup>SM</sup> is a public-private partnership that demonstrates the tangible value of telework and facilitates education and communication in the Federal telework community. Telework Exchange cited the USPTO as a model agency for teleworking.

percent. Additionally, we tested 16 Library teleworkers that the service units informed us teleworked during pay period 12 but for which there was no telework record in WebTA. For the 99 staff selected for testing, we determined if an approved telework agreement form had been completed and if the form clearly described the work to be performed and how it would be measured.

To address our third objective, we 1) reviewed the *Guide to Enterprise Telework and Remote Access Security*<sup>8</sup> and used the guide's material as "best practice" criteria; 2) based on responses to an OIG questionnaire, evaluated implementation of IT telework and security requirements; 3) compared the Library's telework computer configuration to best practices in computer security; and 4) confirmed that secure network request forms were completed, approved, and filed for each applicable staff member in our sample.

To address our fourth objective, we interviewed OSEP officials responsible for planning the Library's response to emergency situations. We assessed the integration of telework into COOP planning based on responses that representatives of the Library's COOP Working Group<sup>9</sup> provided to an OIG questionnaire and considered the aforementioned OPM, GAO, and NIST guidance.

We performed our audit fieldwork from May 2010 through February 2011. We conducted this performance audit in accordance with generally accepted government auditing standards and LCR 211-6, *Functions, Authority, and Responsibility of the Inspector General*. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

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<sup>8</sup> NIST Special Publication 800-46, June 2009.

<sup>9</sup> The Working Group was established to promote the development and consolidation of the Library's COOP. It is comprised of representatives from each service unit, the enabling infrastructure, and the Architect of the Capitol. Its objectives are to 1) ensure the viability of the Library's continuity capabilities and plans and 2) coordinate training, testing, and exercising of the Library's COOP Plan.

## ►► FINDINGS AND RECOMMENDATIONS

For the most part, the Library has effectively implemented the best practices identified by GAO and OPM for the successful operation of a federal telework program. Moreover, by applying NIST guidance in the connection of computers used at telework locations to the Library's restricted systems, the Library is taking reasonable steps to ensure security for its sensitive information.

Nevertheless, it is difficult to evaluate the overall operations of the Library's program because Library-wide data is not being collected and evaluated on the program's total performance. As a result, problems or issues with the program cannot be easily identified and addressed. Further, supervisors are not considering the Library-wide impact of its telework decisions and whether the cost of teleworking exceeds the benefits.

A more effectively operated telework program could be achieved through a Library-wide management approach. The following sections provide assessments of significant issues we identified during this audit and recommendations to improve the management of the Library's Telework Program.

### I. Library Following Best Telework Practices

GAO has identified 25 key practices for a successful telework program<sup>10</sup> and reported that regular attention to them can help foster growth in and remove barriers to telework participation. As shown in Table 1, we determined that the Library has generally implemented 17 of the 25 GAO-identified practices. However, we identified six practices not fully implemented and two that have been implemented but need to be strengthened.

To ensure a robust Telework Program the Library needs to adopt a more agency-wide approach to teleworking including appointing a Telework Coordinator, requiring training, and conducting program evaluation.

<sup>10</sup> *Key Practices to Increasing Federal Telework*, Statement of Christopher Mihm, Managing Director, Strategic Issues, GAO-04-950T, July 2004.

Table 1: Library Compliance with GAO's Key Practices For the Implementation of Successful Telework Programs

Key Practice	LC	Comments
<b>Planning:</b>		
Designate a telework coordinator.	X	
Establish a cross-functional project team, including, for example, information technology (IT), union representatives, and other stakeholders.	✔	Accomplished during the pilot project.
Establish measurable Telework Program goals	X	
Develop an implementation plan for the Telework Program	✔	Due to the varying nature of work, the Library allows each service unit to develop its own plan.
Provide funding to meet the needs of the Telework Program	✔	The Library's Operations Committee established some funding in 2010.
Establish a pilot program	✔	
<b>Policy:</b>		
Establish an agency-wide telework policy	✔	
Establish eligibility criteria to ensure that teleworkers are selected on an equitable basis using criteria such as suitability of tasks and employee performance	✔	
Establish policies or requirements to facilitate communication among teleworkers, managers, and coworkers	✔	
Develop a telework agreement for use between teleworkers and their managers	X	SF 142 and CRS Request Form for Telework. However, the agreements need strengthening.
Develop guidelines on workplace health and safety issues to ensure that teleworkers have safe and adequate places to work off-site	X	Needs improvement
<b>Performance management:</b>		
Ensure that the same performance standards, derived from a modern, effective, credible, and validated performance system, are used to evaluate both teleworkers and non-teleworkers	✔	Teleworkers are subject to the same performance and conduct standards and performance appraisal system as other employees.
Establish guidelines to minimize adverse impact on non-teleworkers before employees begin to work at alternate work sites	X	Although the Library has done some work in this area, more is needed, as detailed in our report.
<b>Managerial support:</b>		
Obtain support from top management for a Telework Program	✔	
Address managerial resistance to telework	✔	
<b>Training and publicizing:</b>		
Train all involved, including, at a minimum, managers and teleworkers	X	
Inform workforce about the Telework Program	✔	
<b>Technology:</b>		
Conduct assessment of teleworker and organization technology needs	✔	
Develop guidelines about whether the organization or employee will provide necessary technology, equipment, and supplies for telework	✔	
Provide technical support for teleworkers	✔	
Address access and security issues related to telework	✔	
Establish standards for equipment in the telework environment	✔	
<b>Evaluation:</b>		
Track participation numbers with a reliable system	✔	
Collect data to evaluate the Telework Program	X	
Identify problems and/or issues with the Telework Program and make appropriate adjustments	X	

Adapted from *Key Practices to Increasing Federal Telework*, Statement of Christopher Mihm, Managing Director, Strategic Issues, GAO-04-950T, July 8, 2004.

Areas needing attention include:

**Designating a Telework Coordinator**—In addition to being a GAO recommended best practice, a Telework Coordinator is part of the recently passed “Telework Enhancement Act of 2010,” which became Public Law 111-292. The law directs each executive branch agency to designate a Telework Managing Officer, who shall: 1) be devoted to policy development and implementation related to agency telework programs; 2) serve as an advisor for agency leadership, a resource for managers and employees, and a primary agency point of contact for OPM on telework matters; and 3) be a senior agency official who has direct access to the agency head.

**Telework Agreement**—As suggested by GAO, the Library has developed telework agreement forms.<sup>11</sup> However, certain important information is lacking from both forms. Specifically, the forms are missing 1) acknowledgement by the teleworker that he or she is expected to telework during a COOP event; 2) identification by the teleworker of the documents, if any, that he or she will take home or to another remote work location; 3) indication by the teleworker as to whether he or she has completed telework training; and 4) certifications by the teleworker and the teleworker’s manager at the ends of specified periods that they have reviewed their telework agreement and have updated it as necessary. Additionally, supervisors need to ensure the forms are accurately and fully completed including clearly defining the work that an employee will perform when teleworking and specifying how that work will be measured so that no confusion exists regarding the employee’s and management’s responsibilities.

**Telework Health and Safety Issues**—The Library expects its teleworkers to use the health and safety guidance that applies to headquarters at their home offices. However, such an expectation is likely not enough to ensure that teleworkers have safe and adequate places to work offsite. We think a checklist form is needed to ensure teleworkers

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<sup>11</sup> The primary agreement form, Library of Congress Form 142, is used by most Library employees who seek to participate in the Telework Program, including the members of AFSCME Locals 2910 and 2477. The other agreement form is the *Request for Telework* form which members of CREA use.

are aware of at home health and safety issues. In a related area, we believe it would be in the Library's best interest to include a statement, such as the one below, in the telework agreements to provide control in the event of a workers' compensation claim by a teleworker occurring at the home worksite:

"Provided I am given 24 hours notice, I agree that the Library may make on-site visits to my remote home worksite during normally scheduled work hours, to investigate the condition and area related to any workers' compensation claim that occurred at the home site."

Lacking appropriate metrics to measure success, it is difficult to say what the Telework Program, as a whole, has accomplished.

**Telework Training**—Telework training among the Library's service and support units is varied and uneven, if it is provided at all. When it is provided, the training is usually limited to issues regarding IT hardware and security.

**Establishing Goals for, Collecting Data on, and Identifying Issues Pertaining to, the Telework Program**—The Library has established several goals for its Telework Program<sup>12</sup> and collects data on participation in its program using WebTA (i.e., to track employees' program participation) and the Employee Survey (i.e., to measure employees' program satisfaction). Notwithstanding the meaningful goals it has established and the important data it is collecting, the Library should take additional actions to manage the program's performance more effectively. Specifically, the Library should collect data on and evaluate the costs and benefits of teleworking to determine whether teleworking is cost-effective. Some indicators of cost-effectiveness the Library could measure include:

- increases in productivity
- reduced need for space

Moreover, while other government agencies measure telework participation based on the number of staff who are eligible to telework, the Library bases its statistics on

<sup>12</sup> The goals of the Library's Telework Program are stated in §2 of LCR 2014-8, *Telework (Working Offsite)*.

all Library staff. This makes comparisons with other agencies difficult.

**Limiting Information Available at Offsite Locations**—LCR 2014-8, *Telework (Working Offsite)*, does not address the permissibility of accessing sensitive unclassified and “For Official Use Only (FOUO)” offsite. Although when teleworking, employees are generally only provided access to low-risk data, some employees require access to moderate and high-risk data (i.e. sensitive or classified) to satisfactorily perform their duties.

### Recommendations

We recommend that the Library:

1. Determine if centralizing Teleworking policy-making authority in a Telework Coordinator would add value to the program,
2. Ensure all telework agreements are complete, accurate, adequately describe the work, and state how it will be measured,
3. Collect data on, and evaluate the costs and benefits of, teleworking to determine whether it provides a cost-effective means to perform specific work requirements,
4. Develop a telework health and safety checklist and incorporate it into the Library’s telework agreement forms (Appendix B details an example of such a checklist),
5. Develop an interactive telework training program and require teleworkers and their managers to successfully complete it before beginning telework, and
6. Revise LCR 2014-8 to address the permissibility of accessing sensitive unclassified and FOUO data at offsite locations.

### Management Response and OIG Comments

Management fully concurred with recommendation 3, partially concurred with recommendations 1, 2, 4, and 5, and did not concur with recommendation 6.

Regarding recommendation 1, management is considering establishing a Telework Program Coordinating Committee

consisting of representatives from each service unit. We believe this is an appropriate alternative corrective action to address our finding.

Concerning our recommendation to develop an interactive telework training program (recommendation 5), management concurred that it should be made available as “optional, encouraged training” but proposed that “the Library’s Operations Committee should discuss and decide if such a course should be a prerequisite for telework participation.” We reiterate that GAO’s *Key Practices For the Implementation of Successful Telework Programs* includes training all involved. We believe that completing a formal telework training program intended to promote understanding of the Library’s Telework Program should be mandatory for the Library’s teleworkers and managers.

Management did not concur with recommendation 6. Management correctly points out that LCR 2014-8, *Telework (Working Offsite)*, is “already unambiguous that teleworkers must adhere to the Library’s Information Technology (IT) security policy.” Further, management notes that LCR 1620, *Information Technology Security Policy of the Library of Congress*, provides the Library’s overarching IT security policy framework and applies to teleworkers. Additionally, the Library requires that all employees complete a *Computer Security Awareness Training* course and acknowledge their understanding of their data protection obligations. We agree that the cited LCRs and the security awareness training course address our concerns about the permissibility of accessing sensitive unclassified and FOUO data at offsite locations. However, we believe the Library needs to reinforce data protection as it relates specifically to teleworkers. As an alternative to revising LCR 2014-8, management needs to include this area in its telework training discussed above.

## **II. Telework is a Benefit, not an Entitlement**

At the time of our audit, the Library’s service and support units were determining teleworking opportunities on a case-by-case basis instead of closely examining a position’s

teleworking potential as part of the process of determining the position's work requirements.

Although certain public policy goals are implicit in the premise of teleworking, it is important to recognize that, public policy goals notwithstanding, the Library's core mission should not be affected by "nice-to-have" but not essential concepts such as telework. Telework should be allowed to the extent that it fits relatively seamlessly into the Library's job streams and is cost effective.

Certain positions are clearly prone to telework; for example, jobs which have clearly measurable outputs, and for which most, if not all of the required information is available online, such as electronic copyright registration processing. On the other hand, certain Library jobs, such as shelving books, are clearly not prone to teleworking. In the middle of this spectrum are jobs for which low- or no-cost accommodations can be made to enable them to be performed off-premises.

Telework should not be viewed as a goal in and of itself. Given that the Telework Enhancement Act of 2010 (signed into law December 9, 2010) is aimed at increasing telecommuting by federal employees, we are concerned that the Library may establish quotas for the number of staff or hours spent teleworking. Supervisors should not be required to produce a certain number of teleworkers simply to satisfy the concept of telework or to reward staff.

*Impact on the Workload of Other Offices Must  
be Considered Before Approving Telework*

LCR 2014-8, *Telework (Working Offsite)*, §6 – "Employee Eligibility and Work Suitability," states that "[t]o be considered suitable, the selected work must not entail undue expense for equipment, setup or support, nor increase the risk to Library data or network security."

We observed that some of the telework performed by Library Services Catalogers entailed additional workload for the Collections Access, Loan, and Management Division (CALM) and the U.S. Capitol Police. We believe Library Services needs to consider these costs in its

decision whether to allow catalogers to take collection materials offsite for telework.

CALM staff must charge-out each book upon removal by a Cataloger for telework purposes and discharge the book upon return. CALM has set up a charge station on the Madison Building 5<sup>th</sup> floor solely for this purpose. We estimate that staffing this station requires .8 FTE<sup>13</sup> or approximately \$70,000<sup>14</sup> annually that would not be needed if the cataloging were performed in-house. We did not attempt to calculate the cost of catalogers bundling, packaging, and then unpackaging materials they take home. Similarly, the U.S. Capitol Police workload is increased due to the need to inspect these materials upon the teleworker exiting the buildings. Library Services allows its teleworkers to take as many as 50 books at a time. The Police could not quantify the cost of the added workload.

*Teleworking must be Appropriate and  
not Disruptive to Work Processes*

Recognizing that each service or infrastructure unit has its own unique mission within the Library, Library management permits each service/support unit head (or designee) to determine whether, and to what extent, the offsite work arrangements are consistent with the operational needs and mission of the service or infrastructure unit. This includes assessing employee eligibility and work suitability before granting telework arrangements. We stress that management consider the total impact of its telework decisions not only on its unit but the impact Library-wide and weigh these impacts, if any, against the telework benefits including COOP and other “soft” benefits.<sup>15</sup>

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<sup>13</sup> Library Services estimated that from October 2009, through March 2010, 151 staff from Library Services Acquisitions & Bibliographic Access Directorate teleworked and completed 19,269 bibliographic records (whole books cataloged). We estimate this averages about 338 books per workday to be charged-out or discharged.

<sup>14</sup> Estimate based on the 2010 salary of a GS 7, step 10 CALM Inventory Management Technician (\$54,875 per year) plus 28% benefits = \$70,240.

<sup>15</sup> “Soft benefits” include recruitment, hiring, and retention (including enhancing the Library’s efforts to employ and accommodate people with disabilities); improved employee morale and job satisfaction, reduced

The Library should make it clear that teleworking should not have more than a minimal impact on the availability of staff, both in person and virtually, by telephone and email. For example, meeting schedules should not be disrupted because one or more potential meeting participants are scheduled to be teleworking on the scheduled day of the meeting. Where practical, and at the discretion of management, meetings could be scheduled so as to accommodate teleworkers; however, since the Library does not have a large contingent of teleworkers, such as in agencies like the USPTO, teleworkers should be made aware of the fact that work schedules are designed around staff working in the office – not those working off-premises.

Teleworkers should be required to come into their office on their telework day if management so requires. We note that the CREA agreement states that “[a]n employee working under a telework arrangement must be available to return to the assigned CRS duty station when management determines that the employee's presence on-site is necessary in order to accomplish the work. Normally, an employee will be given a minimum of two hours notification.” Neither the Telework LCR nor the Guild agreement contain similar language.

Further, the Library should promulgate clear policies requiring teleworkers to be available by email and telephone on their telework day in the same manner as if they were in the office. The Library’s Telework LCR, as well as the two union agreements, require that an employee must be available for contact during his or her official duty hours while on telework. However, specific procedures are not detailed such as requiring teleworkers to regularly check their Audix<sup>16</sup> messages on their telework day or recording a personal voice mail greeting indicating that they are out of the office on telework and providing an alternate telephone number or LOC email address for contact. For positions involving frequent

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absenteeism and sick leave usage; and societal benefits such as reduced traffic congestion and impact on the environment.

<sup>16</sup> AUDIX (Audio Information Exchange): the voice mail and messaging system that typically provides coverage for unanswered calls at the Library of Congress.

telephone use, teleworkers should be required to arrange with ITS for Remote Call Coverage (forwarding the office telephone to their home or mobile telephone) on their telework day.

**Recommendations**

We recommend that the Library:

1. Review positions to determine if they are prone to telework and do not create an additional burden on other areas, and
2. Institute policies requiring the availability of teleworkers by email, telephone, and in person when needed including the use of Remote Call Coverage for positions involving frequent telephone use.

**Management Response**

Management concurred with our recommendations.

■ [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**IV. The Library Needs to More Effectively Incorporate Telework into its Continuity of Operations Plan (COOP)**

One of the Library’s telework objectives is to “... better ensure the smooth continuity of operations in emergency situations.” We determined that the Library has not effectively incorporated telework into its COOP planning. Specifically, the Library has not:

- specified in its COOP plan that individuals asked to telework in the case of a COOP event (including a pandemic health crisis) have a telework agreement in place that provides for such an event,

- and practice teleworking on a regular basis (an OPM best practice),
- provided adequate training for teleworking during a COOP event, and
- periodically conducted exercises or tests to evaluate the telework abilities of staff during a COOP event (i.e., with telework scenarios incorporated in COOP exercises).

In addition, our review of a sample of telework agreements revealed that some teleworkers did not clearly understand the responsibilities they would have in COOP situations, and others mistakenly understood that their telework duties were essential for the Library's continuing operations during emergency events or pandemic scenarios.

We also found that the supervisors generally expected to work during a COOP event are not regularly teleworking, and further, do not have a telework agreement. This is due to decisions by most service and support units to prohibit managers from teleworking.<sup>17</sup> Such decisions hinder not only the Library's ability to operate in an emergency, but may also create a disincentive for employment at the Library. Having Library managers accustomed to teleworking is a step toward ensuring continuity of operations during an emergency.

### Recommendations

We recommend that the Library:

1. Require employees who are expected to telework during a COOP event to:
  - a. have adequate training, infrastructural support, and practice to do so,
  - b. have a telework agreement in place that provides for such an event, and
2. Incorporate teleworking scenarios in the Library's COOP exercises.

### Management Response

Management concurred with both recommendations. However, it noted that implementing recommendation 1.a.

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<sup>17</sup> Managers in the Law Library, HRS, and Office of the Chief Financial Officer (OCFO) are permitted to telework.

“would be contingent upon the Library securing funding needed to expand remote access to its secure network for all essential staff to work from home during a COOP event.”

## » CONCLUSION

Although it has been slow to take hold, teleworking has been increasingly adopted among Library employees as an important means for balancing work-life responsibilities. The Library has laid a strong foundation for its telework program by establishing program policy and providing teleworkers the technical means to work offsite. But, as this report shows, more work should be done.

The Library needs to more effectively assess work suitability for telework to ensure it does not diminish agency operations and performance nor negatively affect other units. Data should be collected and evaluated on program goal achievement, teleworker accomplishments, costs, and problems and issues affecting the program's implementation, among other matters.

While the varied and individual needs of the Library's service and support units should not be ignored, a Library-wide management approach to teleworking will likely yield the best results. For example, the Law Library, HRS, and OCFO are conforming to the Congressional desire to maximize telework participation by permitting their managers to telework. In our view, Library policy should make clear that all Library employees and managers may participate in the Telework Program, unless their job responsibilities make teleworking clearly unsuitable. By doing so, the Library will demonstrate its commitment to maximum employee participation in teleworking.

### **Major Contributors to This Report:**

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## ▶▶ APPENDIX A: LIBRARY STANDARD TELEWORK AGREEMENT

			
<b>AUTHORIZATION AND AGREEMENT FOR LIBRARY STAFF TO TELEWORK (WORK OFFSITE)</b>			
REFERENCES: LCR 2014-8; except CBA and AFSCME 2910 (Guild), whose telework is governed by their collective bargaining agreements. GUILD FACT SHEET: Guild bargaining unit employee and supervisor also review and acknowledge the Guild Telework Fact Sheet. TERMINATION OF TELEWORK: Termination of telework authorization requires written notice to employee giving reason(s).			
<b>PART A</b>			
Employee Name		Division	
Position Title		Position Type	Grade
		<input type="checkbox"/> Supervisory	<input type="checkbox"/> Non-supervisory
Address (Street, City, State, Zip)			
OFFSITE			
LOCATION	Phone Number	Fax Number	E-mail Address
Start Date	End Date (if applicable)	Telework Day(s) (e.g. Every Monday)	Work Hours (e.g. 8:00 am - 4:30 pm)
Type of Hours to be Worked		Type of Telework	
<input type="checkbox"/> Credit <input type="checkbox"/> Compensatory <input type="checkbox"/> Regular <input type="checkbox"/> Overtime		<input type="checkbox"/> Continuing <input type="checkbox"/> Short Term	
<b>PART B</b>			
Please describe: (1) the work that will be performed offsite; (2) how the work will be measured; and, (3) any necessary hardware, software and/or network access requirements. If more space is needed, attach separate sheet.			
Employee's Signature			Date
<input type="checkbox"/> Recommend Approval <input type="checkbox"/> Recommend Disapproval		If recommending disapproval, state reason(s) below. Upon recommending approval/disapproval send this form to the Approving Official.	
Reason(s) for Recommend Disapproval			
Immediate Supervisor's Name	Immediate Supervisor's Signature		Date
<b>PART C: OFFICIAL ACTION ON REQUEST</b>			
<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved		If disapproved, state reason(s) below. Upon approval/disapproval, send a copy of this form to the requesting employee and to the employee's supervisor.	
Reason(s) for Disapproval			
Approving Official's Name	Approving Official's Signature		Date

## ▶▶ APPENDIX B: EXAMPLE HEALTH AND SAFETY CHECKLIST

When the alternate work site is a private residence, the overall safety of the designated work area must meet the following standards:

1. Temperature, noise, ventilation, and lighting levels are adequate for maintaining a high level of performance;
2. All circuit breakers and/or fuses in the electrical panel are labeled as to intended service;
3. All electrical equipment is free of recognized hazards that would cause physical harm (e.g., exposed, frayed, or loose wires);
4. The building's electrical system permits the grounding of electrical equipment;
5. Aisles, doorways, and corners are free of obstructions to permit visibility and movement;
6. Chair rungs and legs are sturdy and casters (wheels) are secure;
7. Phone lines, electrical cords, and surge protectors are secured under a desk or alongside a baseboard;
8. The work area is neat, clean, and free of excessive amounts of combustibles;
9. Floor surfaces are clean, dry, and level;
10. Carpets are well secured to the floor.

**▶▶ APPENDIX C: ACRONYMS USED IN THIS REPORT**

AFSCME	American Federation of State, County, and Municipal Employees
CALM	Collections Access, Loan, and Management Division
CBA	Collective Bargaining Agreement
COOP	Continuity of Operations Plan
CREA	Congressional Research Employees Association
CRS	Congressional Research Service
FECA	Federal Employees' Compensation Act
FOUO	For Official Use Only
GAO	Government Accountability Office
HRS	Human Resources Services
IT	Information Technology
ITS	Information Technology Services
LC	Library of Congress
LCR	Library of Congress Regulation
NIST	National Institute of Standards and Technology
OCFO	Office of the Chief Financial Officer
OPM	Office of Personnel Management
OSEP	Office of Security and Emergency Preparedness
USPTO	U.S. Patent and Trademark Office
WebTA	Web Time and Attendance

## ▶▶ APPENDIX D: MANAGEMENT RESPONSE

UNITED STATES GOVERNMENT

**Memorandum***Office of the Chief of Support Operations**Library of Congress*

**DATE:** April 18, 2011

**TO:** Karl W. Schornagel  
Inspector General

**FROM:** Lucy D. Suddarth  
Chief, Support Operations

**SUBJECT:** Draft Audit Report No. 2010-PA-102

Thank you for the opportunity to comment on Draft Audit Report No. 2010-PA-102 pertaining to the Library's Telework Program. I am pleased to note that the Library has implemented 18 of the 25 key practices for a successful telework program identified by the Government Accountability Office, and that opportunities for further enhancement exist.

Each Library service unit has requirements and procedures for telework that are unique to their organizational and work needs. In order to provide a properly coordinated response, the Office of Support Operations (OSO) shared the OIG draft report with service units to elicit feedback which is reflected in this management response.

It should also be noted that most of the OIG recommendations would require initiating negotiations with the Library's three labor organizations and then bargaining to agreement prior to implementation. Depending on the labor organization, this could involve reopening a provision of the master collective bargaining agreement (CBA) (note that the number of articles the Library may reopen during the life of the CBA is limited) or renegotiating the telework LCR. Absent such agreements, any updates to the LCR would affect only non-bargaining unit staff.

Our comments relative to the report's findings and recommendations follow.

cc: Robert Dizard, Jr.  
Elizabeth Pugh  
Dennis Hanratty  
Al Banks  
Kenneth Lopez  
James M. Duda

I. Library Following Best Telework Practices

*OIG Recommendation No. 1:*

*Determine if centralizing Teleworking policy-making authority in a Telework Coordinator would add value to the program.*

**Partial Concurrence:** According to a report released in 2004, the Government Accountability Office identified a number of key practices that federal agencies should implement in developing their telework programs. Among them was the recommendation, that agencies should adopt a chief Telework Coordinator to oversee and ensure that the telework program accomplishes clear measurable outcomes.

Each service unit and office is unique in its mission and operational needs. In addition, as previously noted, different collective bargaining agreements contractually outline different rules for bargaining unit participation in a telework program. Therefore, the service units did not concur that establishing a centralized telework coordinator would enhance the program's value.

However, there is a proposal to establish a Telework Program Coordinating Committee, similar in function to the HR Flexibilities Working Group. Consisting of representatives from each service unit, the committee could review and recommend telework policies, provide a forum for information-sharing, benchmarking, and identification of best practices across service units, elevate issues and report progress to the Operations Committee (OC) as necessary, and monitor practices in executive branch agencies. OSO will discuss and seek approval of this proposal at a forthcoming meeting of the OC.

*OIG Recommendation No. 2:*

*Ensure all telework agreements are complete, accurate, adequately describe the work, and state how it will be measured.*

**Partial Concurrence:** The service units concurred that telework agreements should be complete, accurate, adequately describe the work, and state how the work will be measured. At the same time, standardized, Library-wide agreements may not be practical, given the unique missions of each service unit and separate language appearing in each telework CBA. Assuming the proposed Telework Program Coordinating Committee described above is established, the committee could carefully examine this recommendation and make appropriate recommendations to the OC.

**OIG Recommendation No. 3:**

*Collect data on, and evaluate the costs and benefits of, teleworking to determine whether it provides a cost-effective means to perform specific work requirements.*

**Concurrence:** The service units concurred that cost-benefit data on teleworking should be assembled and analyzed. Again, the Telework Program Coordinating Committee, if established, could develop data-collection standards to guide the service units in their analyses.

**OIG Recommendation No. 4:**

*Develop a telework health and safety checklist and incorporate it into the Library's telework agreement forms (Appendix B details an example of such a checklist).*

**Partial Concurrence:** The service units agreed that a telework health and safety checklist should be adopted to ensure that teleworkers are aware of health and safety concerns in their offsite work location. The form would also serve as a preventative measure to any worker's compensation claims and could be another topic for the proposed telework committee to discuss. However, implementation would have to await completion of the bargaining process. Additionally, it would be problematic, impractical, expensive and intrusive to conduct checks of workspaces in the homes of teleworkers.

**OIG Recommendation No. 5:**

*Develop an interactive telework training program and require teleworkers and their managers to successfully complete it before beginning telework.*

**Partial Concurrence:** The service units concurred that an interactive telework training course should be made available to supervisors, managers, and staff as optional, encouraged training. Service units may use an HRS-developed course that is available through the Online Learning Center, and Library Services offers mandatory IT and IT security training for staff approved to telework. However, there is a proposal that the Operations Committee should discuss and decide if such a course should be a prerequisite for telework participation.

**OIG Recommendation No. 6:**

*Revise LCR 2014-8 to address the permissibility of accessing sensitive unclassified and FOUO data at offsite locations.*

**Non-concurrence:** The service units agreed that the telework LCR, directives, policies, and procedures should be reviewed and, if needed, revised, to reflect the most current telework technologies and processes. However, the service units did not agree that LCR 2014-8 requires a revision to address the permissibility of accessing sensitive unclassified and FOUO data at offsite locations. LCR 2014-8 is already

unambiguous that teleworkers must adhere to the Library's Information Technology (IT) security policy. In addition, LCR 1620, Information Technology Security Policy of the Library of Congress, provides the Library's overarching IT security policy framework and applies both to users (teleworkers in this context) and owners of Library IT systems. Information Technology Security Directive 01, General Information Technology Security Directive, which provides the detailed requirements to implement LCR 1620, requires that all employees complete the Computer Security Awareness Training (CSAT) course and acknowledge understanding of their data protection obligations by signing the Library's Rules and Behavior for Using Information Technology Systems (ROB) annually. This directive also identifies the technical controls (e.g., encryption, software firewall, and multi-factor authentication control requirements) that must be enforced to protect the confidentiality of Library data at offsite locations.

## II. Telework is a Benefit, not an Entitlement

### *OIG Recommendation No. 1:*

*Review positions to determine if they are prone to telework and do not create an additional burden on other areas*

**Concurrence:** The service units agreed that positions already determined under the provisions of the LCR/CBAs/CREA telework agreements should be reviewed for eligibility. Within these reviews, the service units can reexamine the eligible positions to determine whether teleworking creates an undue burden for other areas. HRS can provide guidance and the proposed telework committee could be a forum for further discussion.

### *OIG Recommendation No. 2:*

*Institute policies requiring the availability of teleworkers by email, telephone, and in person when needed including the use of Remote Call Coverage for positions involving frequent telephone use.*

**Concurrence:** The service units agreed that the telework LCR and local directives should provide specific guidance on teleworkers' availability by email, telephone and in person. The service units needed to consider Remote Call Coverage in more detail before endorsing its use in their organizations. One service unit has *Go2Meeting*, which makes it easier for teleworkers to participate in meeting and presentations, and provides flexibility in some COOP situations.



**IV. The Library Needs to More Effectively Incorporate Telework into its Continuity of Operations Plan (COOP)**

***OIG Recommendation No. 1:***

*Require employees who are expected to telework during a COOP event to:*

- a. have adequate training, infrastructural support, and practice to do so,*
- b. have a telework agreement in place that provides for such an event...*

**Partial Concurrence:** The service units concurred that telework should be incorporated into COOP planning. However, this would be contingent upon the Library securing funding needed to expand remote access to its secure network for all essential staff to work from home during a COOP event.

***OIG Recommendation No. 2:***

*Incorporate teleworking scenarios in the Library's COOP exercises.*

**Concurrence:** COOP planners could include testing and performing exercises under telework as part of the Library COOP planning when such access is expanded for Library essential staff.