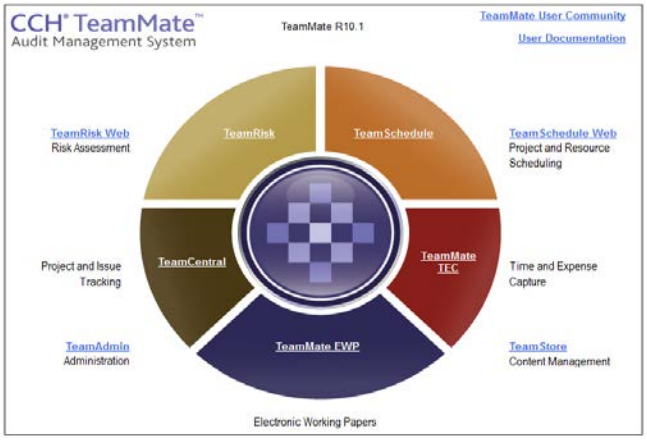
CCH® TeamMate
Audit Management System

WIPO
WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

TEAMMATE PRINCIPLES AND GUIDELINES

Internal Oversight Division



Updated Version: August, 2014

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1. INTRODUCTION

1. TeamMate is a Windows-based Audit Management System, designed to bring efficiency and consistency to the entire audit/evaluation process of The Internal Oversight Division (IOD). At its core, TeamMate is an electronic project management system that facilitates the audit process from risk assessment to reporting. Since the TeamMate Suite was designed with the idea of flexibility, the system can be applied to many different types of assignments. The suite includes the following modules; TeamMate EWP (electronic working papers), TeamCentral, TeamRisk, TeamSchedule, TeamStore and TeamMate TEC). It also includes a TeamAdmin module for administrators, used to set user policies. With the modular structure of the Suite, users can decide which aspects of the suite to use.

2. TeamMate EWP is the central module within the full TeamMate Suite. TeamMate EWP delivers the following benefits:

(a) A consistent approach to project creation, documentation, and review;

(b) Access to management information and navigable project files;

(c) Efficient remote review of projects; and

(d) Ability to share one or multiple projects amongst a team of people.

3. TeamCentral is the implementation management portion of the TeamMate software suite. TeamCentral allows access to key historical data related to projects and issues. Features of TeamCentral include:

(a) Implementation tracking and reporting tool for both audit and operational management to manage follow-up of recommendations; and

(b) Reporting (including graphical reports) and searching, including across-project searches for issues and projects

4. IOD has adopted TeamMate EWP as the standard for documenting audits and evaluation projects; it may also document management implication reports issued following an investigation. While TeamMate does not replace performing the detailed work, it does provide a common platform for documenting, reviewing and sharing work during and after the project. TeamCentral module is used to follow-up on implementation of recommendations created in EWP. TeamRisk, the module used for mapping risks and controls is in use in IOD since the 2014 oversight plan.

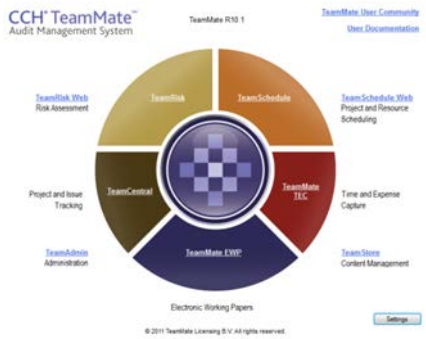
5. The software enables IOD to move towards a paperless environment and bring efficiencies to planning, fieldwork, review, reporting, and archival processes. Additionally, TeamMate is expected to improve best practices, communications and productivity and help ensure consistent application of WIPO's organizational standards and practices.

6. The following document outlines IOD's TeamMate principles and protocols and provides guidance on policy issues such as: planning the project and creating a file in Teammate EWP, documenting audit and evaluation work, establishing quality control through various review steps, updating standard programs and templates, using TeamCentral, backing up projects, storing our project files and getting support.

2. ACCESSING TEAMMATE AND THE TEAMMATE EXPLORER

7. A Team Mate shortcut icon should be visible on your desktop. 

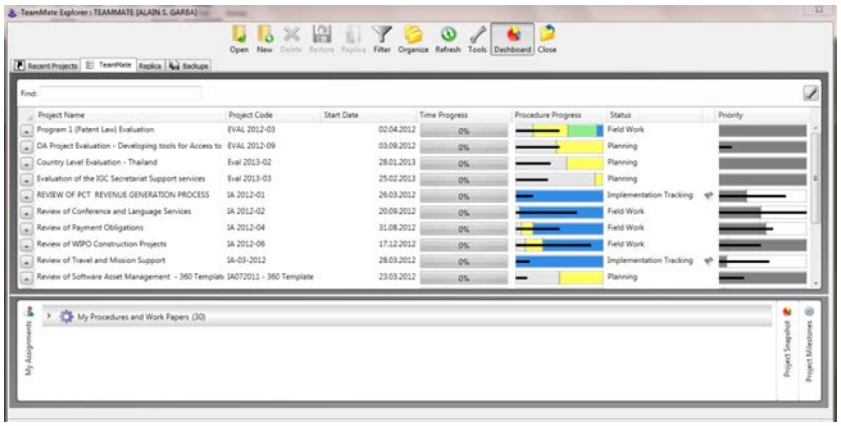
Clicking on the icon will take you to the main Teammate launch Pad.



8. The launch pad provides access to the various TeamMate modules (TeamMate EWP, TeamCentral, TeamRisk, TeamSchedule, TeamStore and TeamMate TEC). Access to any module is subject to authentication via a username and password.

9. IOD policy is that Login is the first letter of the first name and last name as follows: ‘asmith’. The default password is ‘password1’. New users will be requested to change theirpassword which should be at least 8 characters and include at least 1 number in line with WIPO password policy.

10. Following access to TeamMate EWP, the next screen which is the ‘TeamMate Explorer View’ will show all projects currently created and their status.



11. The TeamMate EWP Explorer is a viewer that displays projects. The TeamMate EWP Explorer’s principal functions are to create new project files and display a list of available projects. Multiple tabs can be created to organize projects so that it is easy to find the project you require.

12. Although by default all projects are displayed in the Explorer, each user will only have access to those projects on which they are a team member. Common uses of TeamMate Explorer are:

(a) Opening Existing Projects;

(b) Creating New Projects;

(c) Restoring TeamMate EWP Backups;

(d) Creating, installing and merging Replica Projects;

(e) Organizing Location Tabs;

(f) Deleting Projects; and

(g) Viewing high level information related to the status of schedules via the Dashboard.

13. The Explorer functions are accessed from the ribbon buttons at the top of the EWP Explorer. Some functions only apply to projects in the central database and some functions only apply to distributed projects. The ribbon buttons are enabled and disabled accordingly. Functions available are:

(a) Open – Opens the currently selected project.

(b) New – Creates a new project in EWP.

(c) Delete – Deletes currently selected project. This is only enabled for distributed projects. Projects in a central database can only be deleted from TeamAdmin.

(d) Restore – Restores a back-up in the selected location. This is only enabled for distributed tabs as back-ups of a central database are managed by your organization's IT department.

(e) Replica – Install a replica in the currently selected tab.

14. Project List - This is a list of all projects in the database. The list can be filtered using the Explorer filter button if required. The information which can be displayed for each project in the Centralized Dashboard is detailed below. The Explorer Settings button (denoted by a wrench icon in the panel top right corner) allows you to show or hide columns to change the information displayed as necessary:

(a) Project Name – The name of the project.

(b) Project Code – Code defined by IOD's workplan that identifies projects.

(c) Start Date – The start date of the project.

15. Time Progress – This is a graphical indicator showing actual project time in hours against either estimated or scheduled project hours as a percentage. Green indicates that the project is under budget, red indicates that the project is over budget. Hours are taken from the Project Profile | Schedule tab. See section on Project Profile for more information.

16. Procedure Progress – A graphical indicator composed of two elements. The solid black line displays the total number of procedures in the project. The line is sized automatically to allow you to compare the total number of procedures in a project with other projects.

17. The underlying stack chart shows the number of procedures in the project in each workflow state (not started, in progress, prepared, reviewed and edited since review). The stack bars are resized based on the percentage of procedures in each workflow state versus the total procedures in the project.

18. Project Status - A project can be in one of seven workflow states or cancelled/ deferred. For details on project status, including definitions, see Profile – Status.

19. Finalized - An icon is displayed indicating that the Project is finalized and no further changes can be made. See section on Finalization for more information.

20. Priority - A graphical indicator composed of two elements. The solid black line displays the total number of Recommendations in the project. The line is sized automatically to allow you to compare the total number of recommendations in a project with other projects. The underlying stack chart shows the number of recommendations in the project by priority categorization. The stack bars are resized based on the percentage of recommendations in each category versus the total number of recommendations in the project. The recommendation priorities and bar colors displayed are user configurable. See the TeamMate Champions Guide for more information on configuration.

3. CREATING PROJECTS

21. TeamMate EWP projects can be created in two different formats, Centralized and Distributed. The choice of format is determined when a project is created and can be made on a per project basis, or standard basis.

22. IOD will use the Centralized approach - These projects are part of a central database - no data is held locally on the PC. All changes made to the project are reflected automatically in the central database.

23. All projects in EWP are created from a Template. Templates are a key component of TeamMate EWP and serve as a "head-start" when creating your project. Templates typically contain standard items found in every project, irrespective of the client or assignment. Templates normally include:

(a) A planning checklist,

(b) Notification/engagement letter (fill in the blanks template) or other work paper templates,

(c) Opening meeting template,

(d) Support Group / Champions as team members,

(e) Global Tick-marks, and

(f) Customized Settings, including Terminology, Categories and Workflow Policies.

(A) NAMING THE PROJECT

24. To create a project, the following steps are required:

25. **Step 1**: Enter the project information using a standard naming and coding convention to aid project identification and sorting in the Explorer.

(a) Code - Defined by the annual Oversight plan and appears as either depending on the Section: IA 201X-0X for Internal Audit reports, EVAL 201X-0X for Evaluation reports, INV 201X-0X for Investigations' Management Implication reports, EA 201x-0X for external Auditors' reports. EAM 201X-0X for external Auditors' management reports.

(b) Project Name - As defined in the annual oversight plan.

(c) Audit Plan - Oversight Plan for the year.

(d) Entities - There is only one entity: WIPO.

(e) Project Start Date - Defined as the date when planning commences.

26. **Step 2**: Select a Template. A template is the basis of all new TeamMate EWP project files. Templates enable you to include predefined information about the project and its structure without having to redefine it every time you create a new file.

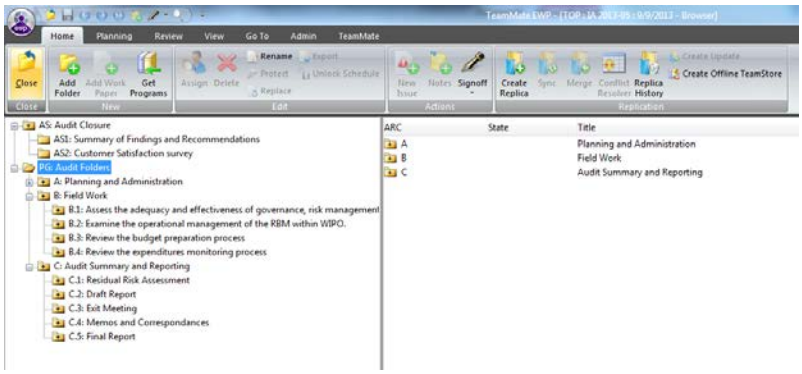
27. Currently, there is either an EVAL Template or an IA Template. Investigations use a very simplified template prepared for the purpose of reporting only; investigation working papers are saved under IOD's R drive.

(B) TEAMMATE EWP BROWSER

28. The Browser is your starting point within your project file. The Browser is the index or table of contents, of the project and is the first screen displayed after opening the project. Everything contained in a TeamMate EWP project file can be accessed through the Browser. Although the Browser can give access to all Schedules in the Project, it is often easier to use the ribbon interface and other shortcuts to go directly to the many EWP Viewers and find the information you require.

29. The Browser is divided into three resizable panes similar to Windows Explorer. The left pane displays the overall project structure and main folder names, the top right pane displays the contents of each folder, and the Info View which shows other information about an item selected in the top right pane.

30. As you move through the folders in the left pane, the right pane will refresh to display the selected folders contents.



31. At IOD, the TeamMate EWP project files for audits have the following main folders:

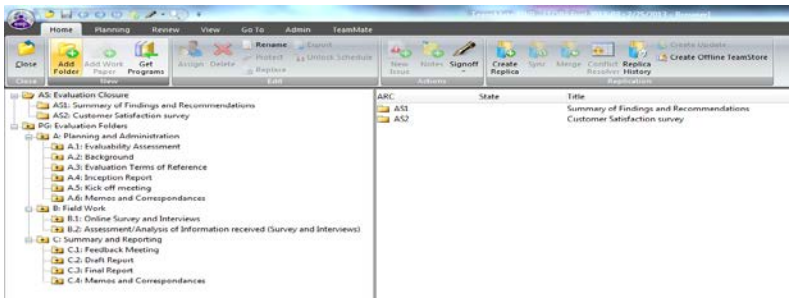
(a) **Audit Closure (AS Folder**) – contains all issues (findings) as well as any TeamMate EWP generated reports.

(b) **Audit Folders (PG Folder)** – contains the planning and administration folders, field work folder which include the work programs and work papers, and the audit summary and reporting folder.

32. A similar configuration has been developed for the Evaluation Template which holds:

(a) **Evaluation closure folder** - contains all issues (findings) as well as any TeamMate EWP generated reports.

(b) **Evaluation Folder** - contains the planning and administration folders, field work folder which include the work programs and work papers, and the audit summary and reporting folder.



(C) PROJECT SETTINGS

33. There are two types of project settings; (1) Technical -setting the location of TeamMate projects on the network, defining storage and project archiving, and replica, (2) Project templates - configuring projects policies and terminologies, and options. The TeamMate Administrator is in charge of these settings and collaborates with the WIPO IT server administrators. The TeamMate administrator creates bespoke templates used for all Projects. The technical settings are addressed in part 9 (Technical Project Settings) of this guideline.

34. Including Project Settings in a template helps to ensure consistency, and conformity with an organization's best practices and management information requirements. It also reduces the administrative burden for the user who is setting up the Project. Types of Project Settings which can be defined at this stage, if required, are as follows:

(i) <u>Terminology</u>

35. Using Terminology, IOD can customize the fields and tabs in TeamMate to match the words and terms used by the organization. Within TeamAdmin, you can update the labels of many fields and screen tabs, which will reflect in all of the applicable TeamMate modules (TeamMate EWP, TeamCentral, TeamRisk, TeamSchedule, TeamStore and TeamMate TEC). Field names and tab labels are considered Terminology in TeamMate. Fields and tabs that IOD does not use can be hidden. Label names can be edited and the number of tabs displayed on certain TeamMate forms can be changed through use of the on/off checkboxes. Although not all fields can be hidden or customized, there are many options for customization.

36. Terminology that can be modified in TeamAdmin includes:

(a) Project Profile Labels

(b) Issue Labels

(c) Procedure Labels

(d) Coaching Note Labels

(e) Objective, Risk and Control Labels

37. The following WIPO Terminologies have been set in Team Admin and have been integrated in the templates:

(a) Project Profile - Objectives, Background, Scope and Methodology

(b) Issues – Findings, Conclusions, Impact, Likelihood, Risk, Evaluation criteria.

(c) Recommendation Label – Recommendation, Response, Progress, Priority, Program, Risk, Source, Category

(d) Recommendation State – Open, Pending, Started, Implemented, Closed verified, Closed Management accepts the risk, Closed no longer applicable.

(e) Procedures – Record of work done, Conclusion

(ii) Categories

38. Within TeamAdmin, you can also customize the items that appear in field selection lists (drop down lists). These are referred to in TeamMate as Categories. Using Categories, allows IOD to customize the fields in TeamMate to match the words used by the organization.

39. Categories that can be modified in TeamAdmin include: Project Profile Categories, Issue Categories, Procedure Categories, Coaching Note Categories, Objective, Risk and Control Categories, Resource Categories, Time and Expense Categories, and Schedule Categories.

40. One of the key results of customizing categories is to organize and label information so that issues can be sorted and reported by the properties important to IOD. By customizing the terminology and categories within TeamMate, IOD can create projects and reports that fit the organization. The following Terminologies have been set in Team Admin and have been integrated in the templates and a full listing is available in Annex 1 of this guideline:

(a) Project Type

(b) Issue Type

(c) Project Location

(d) Origin

(e) Project Source

(f) Issue Type

(g) Likelihood

(h) Impact

(i) Risk

(j) Priority

(k) Evaluation Criteria

(iii) Policies

41. Policies are used in TeamMate EWP to determine security, permissions and workflow in your TeamMate EWP Projects. These policies are also part of your TeamMate EWP Template or set up in the individual projects. Policies available include:

(a) Integration Policies – Related to how TeamMate EWP functions with the rest of the Suite.

(b) Security Policies – Restrict ability to make edits, create replicas, templates and reporting.

(c) Customization Policies – Ability to Freeze or Hide specific customization and profile selections.

(d) Workflow Policies – Related to the assignment of work.

(e) Signoff Policies – Restricts/Enables available sign-off capabilities.

(f) Finalize Policies – Select options for project finalization process.

(g) Work paper File Size – Limit the file size of work papers as attachments or to be included in replicas.

42. A full listing of policies customized for IOD is available in Annex 2 of this guideline.

(iv) Auto-backup settings

43. This determines auto-backup settings which will be used in Distributed or Replica projects.

(a) Auto-back - Whether or not auto-back will run when a Project is closed

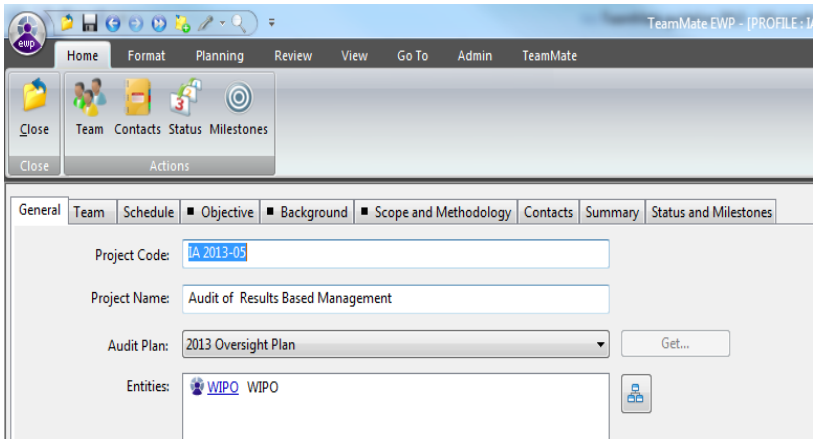
(b) Frequency - If auto backup is enabled this determines the frequency with which EWP will create backups

(c) Number of prior backups to be retained - Allows x number of previous backups to be retained.

44. If not selected new backups will overwrite those created previously.

4. SELECTING PROFILE, TEAM AND CONTACTS

45. Once a project is named and created in Teammate EWP, we need to provide some information on the project profile i.e. the project's team, scope, summary, schedule etc…



46. The profile provides information on the audit/evaluation team members, Schedule for the audit/evaluation, the Objectives and background of the audit/evaluation, the scope and

methodology and client contacts. The profile is also used to insert the executive summary of the audit/evaluation and the status of the project with regards to the scheduling.

(A) TEAM SETTING

47. Teams can be set and assigned roles under this tab. The role policy set up for IOD is as follows:

Title	Role
Independent Advisory Oversight Committee members	TBD
Director	Project Manager/Preparer/Reviewer
Head of Internal Audit/Evaluation/Investigation	Project Lead/Preparer/Reviewer
Senior Auditor/Evaluator/Investigator	Preparer/Reviewer
Auditor/Evaluator/Investigator	Preparer
Administrative Assistants	Preparer
Interns	Preparer
Teammate Champion	Administrator

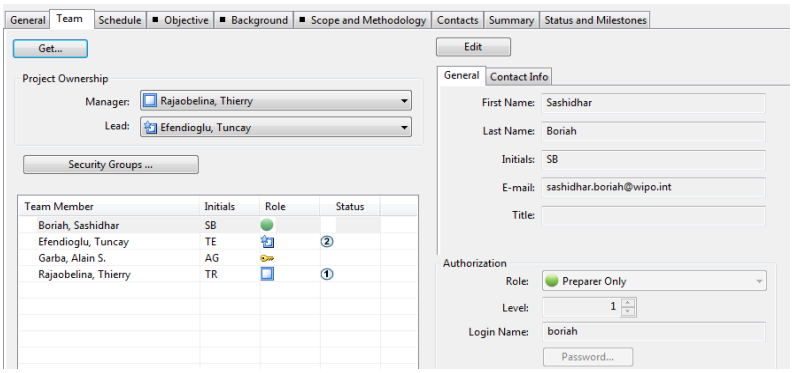
48. There is an important difference between the Preparer/Reviewer Role and the Reviewer Role. Team members with the latter role cannot make any edits to a project file other than signing documents off and raising coaching notes.

49. A team member, with an Administrator Role, called Teammate Champion is automatically added to the team of every project created from the libraries.

IOD Policy: The Lead (Head of Section) and Manager (Dir. IOD) are both Preparer Reviewer. The Project Owner is the staff who created the project or who is the main focal point for the assignment.

(i) Security groups

50. Within the Teams Tab, there is also the possibility to set Security Group. Security Groups is the collective name in TeamMate for Implementation Coordinator (IC) groups and Project Access Groups. In TeamMate EWP these groups can be associated with the project so that resources who are not members of the project team can have access to data from the project in TeamCentral. For more information about Security Groups see the TeamMate Champion Guide.



(a) Project Access Groups - Are used in TeamCentral to give Resources who are not team members, read only access to project data.

(b) Implementation Coordinator (IC) Groups - Are used in TeamCentral to give Resources permission to track and action Recommendations from the Project.

(c) Project IC Group - Members of a Project IC Group and its members will have access to all Recommendations from the Project.

Security Group setup and management takes place in TeamAdmin. Only the Project Ownership and Administrator can make changes in the Security Group dialog.

51. The following security groups (Project IC Group) have been created in IOD

(a) IOD – All staff of IOD

(b) EVAL – Evaluation Staff only

(c) IA – Internal Audit Staff only

(d) INV – Investigation staff only (used for following up on Management Inception Reports (MIR)

52. In addition each staff member in IOD has also been assigned an individual implementation coordinator role to individually follow up recommendations.

(B) CONTACTS

53. Contacts are business contacts for this project; typically these are the management of the Entity being audited. Contacts will be mostly program managers and process owners. These contacts would also be given access to TeamCentral and assign different roles in the management and update of recommendations.

Only the administrator can create contacts. Contacts are only copied into the Profile during creation if the Project is centralized.

Contacts cannot login or otherwise be given access to Projects in EWP. Associating Contacts with Projects and Recommendations is done solely to give access to data in TeamCentral

5. PLANNING FIELD WORK AND REPORTING

54. IOD's oversight work is organized within the following stages:

(A) PLANNING

55. IOD prepares a plan which outlines the objectives, scope and methodology for audits. A risk assessment document is also prepared which details the major risks and identifies existing mitigating controls. An audit program is established with the audit work steps to be undertaken, based on the risk assessment and the audit plan.

56. For evaluations, an evaluability assessment is performed, followed by the preparation of terms and references and an inception report to outline the objectives, scope and methodology to be applied.

57. The above documents are recorded in their corresponding folders within TeamMate EWP. Further, the procedures, risks and controls are also recorded within the electronic work papers in TeamMate. Evaluations record procedures, criteria and Questions are outlined in the terms of references.

(B) FIELD WORK

58. Following the creation of the plan/inception report, risk/evaluability assessment and work-steps, the project will need to be initialized. Initialization should take place after:

(a) The Admin selection of Team Members,

(b) The Audit/Evaluation Profiles has been defined,

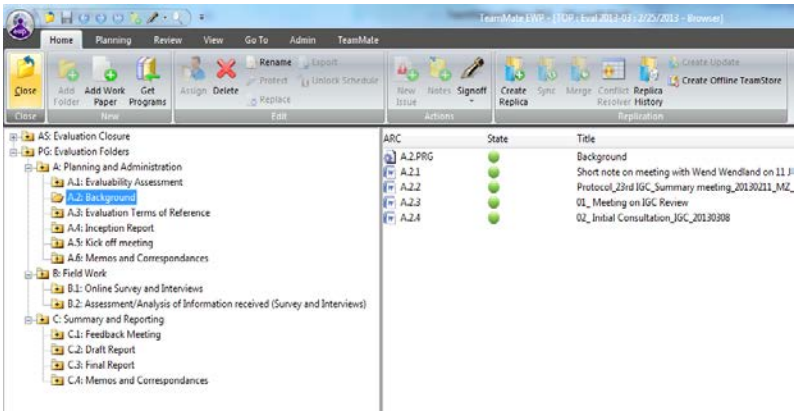
(c) Background documents/Evaluation terms of references have been included in the appropriate folder,

(d) Risk/ Evaluability assessment performed included in the appropriate folder,

(e) Audit plan/Inception reports prepared and included in a the appropriate folder,

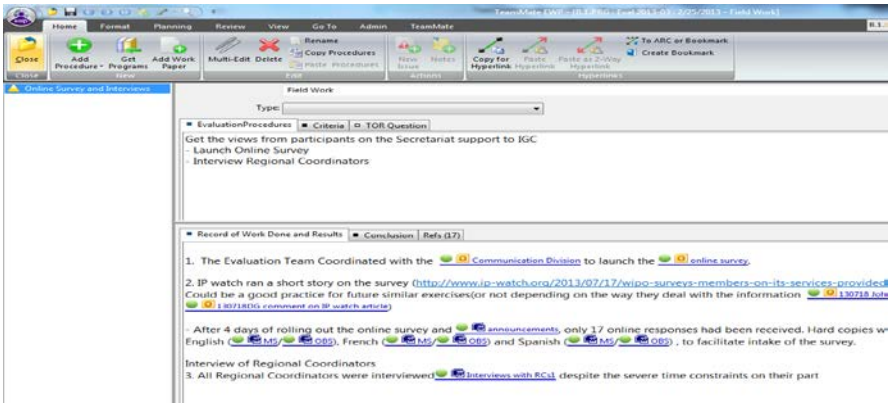
(f) Audit programs/ developed and included in the appropriate folder, and

(g) Any correspondences and meeting notes prepared and included in the appropriate folder (opening/kick-off meetings).



59. The project manager and the project lead will review all corresponding documentation and make review notes where appropriate.

60. Documenting the results of work performed is similar to documenting work in a paper-based environment. The Work Program is used to document the results of testing carried out, supporting evidence found during the course of the project can be added as Work Papers and any findings and recommendations are documented as Issues. The primary advantage of an Electronic Working Paper system is that all the work which is documented in a project is automatically indexed and cross-referenced so that findings can be easily related back to the documentation/transaction reviews, interviews, surveys, tests and evidence that was gathered.



61. TeamMate EWP allows IOD to document each stage of its oversight work up to the recommendation. The teammate work space allows IOD to record all steps and evidence collected during the course of their work. The record of work done facilitates the link between findings and evidence and provides a clear audit trail up to the recommendations made. The record of work done should, for audit and evaluation, tell the story of what was done together with links to the evidence gathered.

62. The Work space can be used directly as a work paper, or documents can be uploaded and attached wherein. TeamMate is compatible to Microsoft Office applications and can also record scanned documents and emails.

During planning and fieldwork, whenever possible, request information in electronic format. Determine whether information originally created by the client is available in its native electronic format.

IOD policy is to place priority on documentation to support issues (findings) that are to be raised in the report. You should scan in documentation what directly supports an issue (finding). This includes, but is not limited to, contracts, invoices, purchase orders, interviews, meeting notes, surveys, etc.

(C) REVIEW AND SIGN OFF

63. All Schedules in TeamMate EWP, except Risks and Controls have a workflow state: Not Started, In Progress, Prepared and Reviewed. Workflow states and signing off Schedules help to keep track of what has and has not been done, and in a large team environment provides accountability for reviewers.

64. TeamMate EWP allows the project lead and project managers to access the field work at any time and perform reviews. These reviews are documented in 'review notes' and can be accessed at any time by auditors/evaluators.

65. Once you have completed your work, you must mark it as prepared, which will allow its review. TeamMate EWP automatically inserts your initials and date and retain the information in the edit history. You have two different types of Sign-off in TeamMate:

(a) Signing off individual work papers and exceptions, and entire work programs

(b) Signing off individual procedures

66. Staff members who have been granted the reviewer or preparer/reviewer roles have the authority to sign off on prepared work papers.

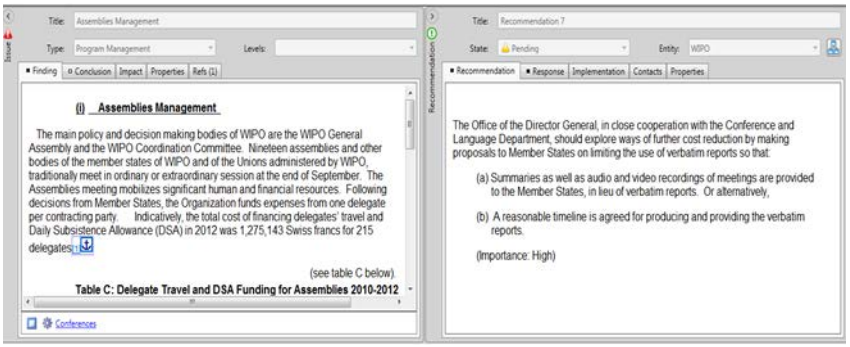
67. As a reminder the following roles have been attributed in IOD

Title	Role
Audit Committee members	Read-only
Director	Preparer/Reviewer
Head of Internal Audit	Preparer/Reviewer
Head of Evaluation	Preparer/Reviewer
Senior Auditor/Evaluator	Preparer/Reviewer
Auditor/Evaluator	Preparer
Administrative Assistants	Preparer
Interns	Preparer
Teammate Champion	Administrator

The preparer cannot be the reviewer regardless of whether the staff has both reviewer and preparer role.

(D) REPORTING ON FINDINGS AND RECOMMENDATIONS

68. Throughout the fieldwork, IOD staff record findings and recommendations through the 'New Issue' button on the EWP workspace.



69. IOD records findings and recommendations in the following manner:

(a) Finding – used to record the Audit/Evaluation/MIR issue

(b) Recommendation – used to record the associated recommendation

(c) Conclusion – used by Evaluations to record conclusions

(d) Impact - used to record the impact of the finding and its likelihood

(e) Properties – used by Evaluation to record the evaluation criteria associated to the finding

(f) Properties – used to provide information on; priority, associated WIPO program, risk, source and category of recommendation.

70. Findings and recommendations also have to be reviewed and signed off by the reviews (project lead and project Manager).

(E) CLOSING MEETING - CLIENT ACCEPTANCE OF FINDINGS AND RECOMMENDATIONS

71. Prior to finalizing an audit, a summary of audit findings and recommendation is prepared which includes all findings and related recommendations. This document serves as a discussion paper and is used during the closing meeting held with the client. The same process occurs during evaluations; a feedback meeting is held after the field work to discuss findings, conclusions and recommendations. Comments from the client are used to further fine tune the findings and recommendations and a draft report is subsequently issued to the client.

72. The client has 10 working days to provide comments, action plans, assign owners and contributors, provide a reasonable timeline for each recommendation implementation.

(a) **Owner:** this is the person assigned to the recommendation (Lead), in charge of implementing and providing updates on the recommendation.

(b) **Contributor:** This person assists the 'owner' in implementing the recommendation and in providing updates on the recommendation. This is also used in cases where the recommendation cuts across programs/units, staff members from the other contributing units are given contributor roles.

(c) **Approver:** this person approves the update provided by the owner if and when required. This could be an active approver (approval required in TeamCentral) or a passive approver (approves before the owner updates in TeamCentral).

(d) **Observer:** Passive role usually allocated to the program manager who is not the approver. For example in a recommendation involving more than one Program, the second Program manager could be an observer.

(e) **Final Approver**: Usually assigned to the Program Manager for final approver.

73. Following receipt of the comments, action plans and owners, a final report is prepared to be issued to the Director General.

74. In parallel to the above, the findings, recommendations and responses are updated in TeamMate EWP. The information provided by the client is used to update the following information in EWP findings and Recommendations views:

(a) Response – used to record the client's response with regards to the finding and recommendation. This will include the comments and action plan

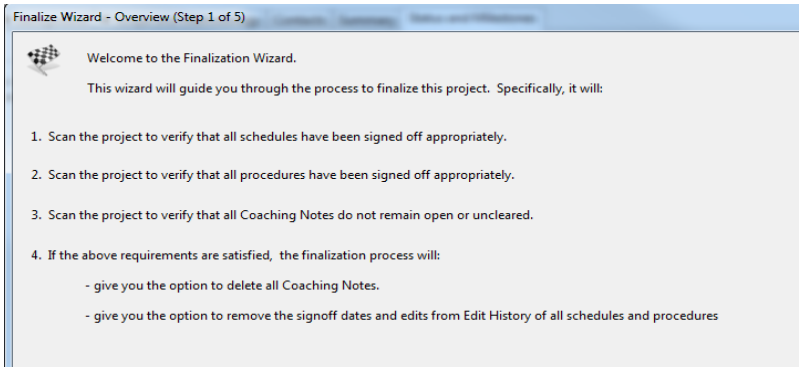
(b) Implementation – used to record the client's estimated implementation date, progress, and identify the implementation coordinator within IOD that will follow-up on the issue and recommendation.

(c) Contact – used to identify the designated client contact person responsible for the implementation of the recommendation (owner), as well as the approver, and contributors.

6. TEAMMATE EWP PROJECT FINALIZATION

75. Project Finalization occurs when the field work and final reports have been issued. TeamMate EWP contains a finalization process that checks each procedure step, procedure summary, exception, supporting work paper, and coaching note for prepare and review sign offs.

76. Then the process converts all team roles to read only. In the unlikely event that changes to the project file are required after finalization, TeamMate also creates an emergency back-up copy of the master file that can be restored. Only a team member with Reviewer rights, at minimum, can perform the finalization process. Prior to finalization, the following needs to be verified.



It is IOD policy to run the finalization process only after issuance of the project report and approval from the project manager.

It is also IOD policy to discontinue finalization if, during the finalization process, TeamMate detects any of the following:

(a) Procedure steps not signed off as prepared or reviewed

(b) Work papers not signed off as prepared and/or reviewed

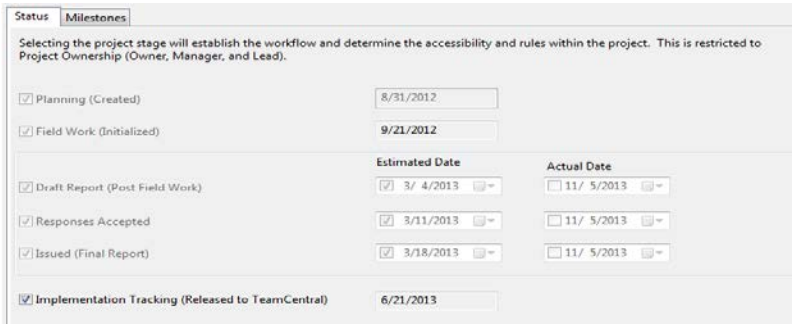
(c) Exceptions not signed off as prepared and reviewed

(d) Coaching notes not addressed and cleared

As a policy coaching notes are not deleted during finalization of IOD projects.

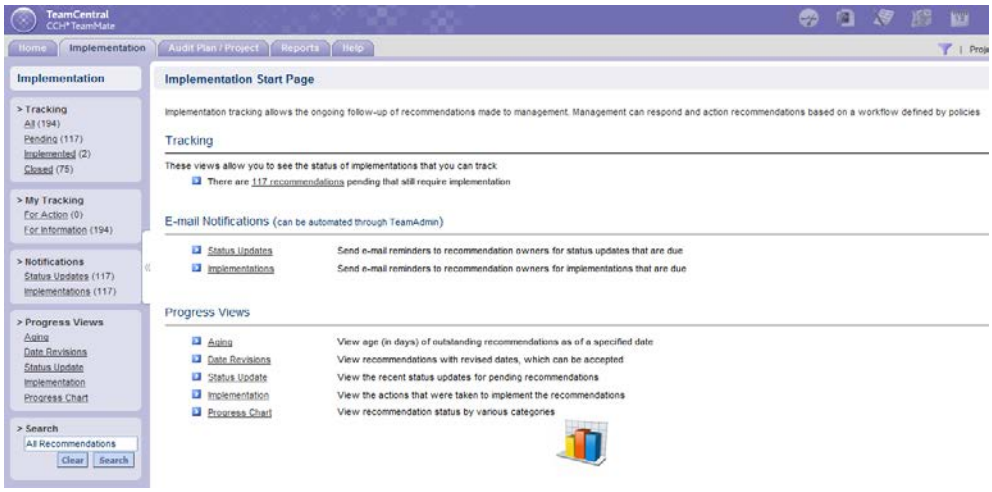
7. FOLLOW-UP OF RECOMMENDATIONS - TEAMCENTRAL

77. Status tab in TeamMate EWP is used to record the various stages of the project workflow.



78. The issuance of the final report, the finalization of the project and implementation tracking trigger the release of findings and recommendations to the TeamCentral Module, used to follow-up on open recommendations.

79. TeamCentral is a web-based recommendations tracking database that accumulates project information and findings from all of your individual oversight reports. The tool allows users to track the implementation status of recommendations made by IOD, and WIPO External Auditors.



80. To access TeamCentral, a user must be assigned a ‘username’ and ‘password’. Users are IOD staff members, client designated staff members and WIPO External Auditors.

81. Only the TeamMate Administrator can create a username and password for TeamCentral. IOD staff use the same ‘username’ and ‘password’ assigned for TeamMate EWP to access TeamCentral.

IOD has provided access to TeamMate access to the External Auditor to upload management recommendations stemming from performance audits they conduct during the year. These recommendations will be under the responsibility of the external auditors and IOD will not be following up on these recommendations. In accordance with its Oversight Charter, IOD continues to monitor external auditors’ recommendations presented in the reports to the assemblies.

82. All information provided when recording the issues and recommendations in TeamMate EWP are carried over to the TeamCentral view when the project is finalized in TeamMate EWP and the recommendations are tracked. This includes for example; Findings (Issues), Impact, Properties, Recommendations, Response, Contacts, Implementation Coordinators, Estimated implementation Date, Progress, Priority, Categories and Risk.

83. In addition to the above, the TeamCentral view provides the following additional tabs:

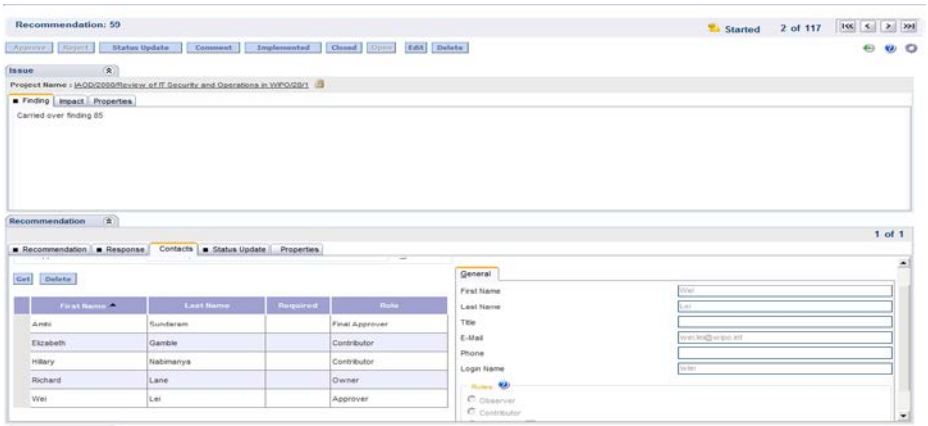
(a) **Status Update** – used by the client contacts (owner, contributor, approver) to provide updates on the implementation of the recommendations, including revised implementation dates and provide attachments of supporting documents.

(b) **Comment** – Used by both the client and IOD to exchange information and request additional information.

(c) **Implemented** – Only used by IOD implementation coordinator to propose after review, the implementation of a recommendation.

(d) **Closed** – Only used by the Director of IOD to confirm that a recommendation has been implemented, functioning and can be considered as closed.

(e) **Open** – Used by the Director of IOD to reopen an implemented recommendation if he/she has determined that there are insufficient proof that the recommendation has been implemented or is functioning effectively.



84. Recommendations are either ‘pending’, ‘started’, ‘implemented’ or closed. Within the closed recommendations, the following possibilities are available to IOD:

(a) Closed, verified

(b) Closed, management accepts the risk

(c) Closed, no longer applicable

As a policy, only the Director of IOD can close a recommendation.

(A) TEAMCENTRAL POLICIES

85. TeamCentral allows interaction between IOD, External Auditors and Clients to provide information on status of recommendations and supporting documentation. This platform provides an audit trail of recommendations issued up to the implementations and closure of the recommendations including the timelines.

86. When recommendations are released to TeamCentral, IOD issues an email to clients to inform them that open recommendations are now accessible via the TeamCentral link.

87. As a reminder, Security groups were assigned in EWP for each issue (finding). As a member of a security group you will have access in TeamCentral, to all recommendations assigned to your group, or to you as an individual. The following security groups have been created in IOD:

(a) IOD – All staff of IOD

(b) EVAL – Evaluation Staff only

(c) IA – Internal Audit Staff only

(d) INV – Investigation staff only (used for following up on Management Inception Reports (MIR)

88. In addition each staff member in IAD has also been assigned an individual implementation coordinator role to individually follow up recommendations.

IOD staff members will only view recommendations assigned to them or their group. The Director of IOD and the Heads of Sections have audit manager roles in TeamCentral and can therefore view all recommendations.

The administrators have access to all recommendations

89. Email alerts are sent to all staff members assigned to a recommendation under the following circumstances:

(a) When a status update is performed by an client,

(b) When a recommendation has been reviewed and proposed for implementation by the implementation coordinator

(c) When the Director of IOD closes or reopens a recommendation

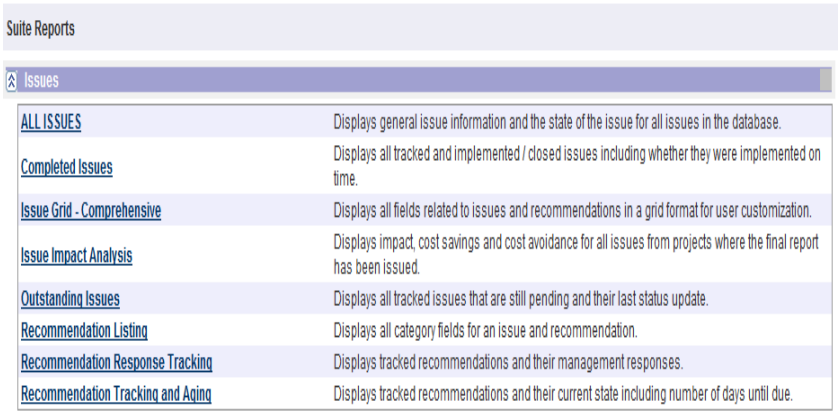
90. The Comment Tab used for requesting additional information or providing comments can be configured by the user to send only to specific staff members assigned to the recommendation.

91. Each recommendation has a 'history tab' which records all interactions, comments, status updates made during the lifecycle of the recommendation.

92. The full list of policies established for IOD is available in Annex 3 of this guideline.

As a policy IOD sends a reminder to client for updating status of recommendations one month prior to each IAOC meeting and prior to the presentation of the annual report to the WIPO Assemblies.

93. In order to facilitate reporting, TeamCentral provides several configurable reports as follows:


Suite Reports

Issues

ALL ISSUES	Displays general issue information and the state of the issue for all issues in the database.
Completed Issues	Displays all tracked and implemented / closed issues including whether they were implemented on time.
Issue Grid - Comprehensive	Displays all fields related to issues and recommendations in a grid format for user customization.
Issue Impact Analysis	Displays impact, cost savings and cost avoidance for all issues from projects where the final report has been issued.
Outstanding Issues	Displays all tracked issues that are still pending and their last status update.
Recommendation Listing	Displays all category fields for an issue and recommendation.
Recommendation Response Tracking	Displays tracked recommendations and their management responses.
Recommendation Tracking and Aging	Displays tracked recommendations and their current state including number of days until due.

94. These reports are used to develop the IOD report prepared and presented to the Director General and to the IAOC.

(B) DELETING RECOMMENDATIONS

95. Deleting a recommendation removes recommendation from the database which means it will be removed from EWP and TeamCentral in a Centralized environment. In a distributed environment it will only be deleted from TeamCentral. If the recommendation being deleted is the only recommendation that is associated with an issue, the Issue will be deleted as well.

Only a user with Administrator access to TeamCentral can perform this function. Currently, recommendations are not deleted without prior authorization of the Director of IOD.

8. SURVEYS

96. Survey in TeamCentral allows IOD to send our surveys to the client for the purpose of obtaining feedback. The function is based on TeamCentral, but is available from within TeamMate EWP if a template has been created first. IOD has developed a template for a client satisfaction survey which is sent out X days following the issuance of the final report.

97. Once the survey published, the recipient will receive the survey link in their email inbox. The link is unique to each recipient and is the way survey tracks responses by recipient. By selecting the link, the Survey will open up in their default web browser. While taking the survey, they will have two options: SAVE and SUBMIT. SAVE allows them to save their work without passing the results on to the survey results. SUBMIT allows them to submit their survey. Once a survey is submitted, it becomes read only and the recipient cannot change their answers.

98. The recipient of the survey is usually the program manager or the Director and is given X weeks to fill in the survey.

 Only the office of the Director of IOD can send out surveys and review responses.

9. TECHNICAL PROJECT SETTINGS

(A) SETTING TEAMMATE PREFERENCES

99. When TeamMate is installed, a few TeamMate preferences are set. We have established IOD preferences with respect to:

(a) Location of Project Files on the LAN

(b) Location of Backup Files

(c) Frequency of Back-up

(d) Location of Library Files

(e) Location of TeamStores

100. The TeamMate Explorer is a viewer that displays project files by file directory location. You should think of the TeamMate Explorer as an electronic filing cabinet. Just as an office file cabinet has multiple “drawers,” the TeamMate Explorer has multiple “tabs.” Each “tab” maps to a directory on either your local PC drive or the WIPO LAN.

(B) PROJECT LOCATIONS

(a) By default there are 4 tabs installed with TeamMate:

(b) **TeamMate -** Displays TeamMate Project Master Files that are stored in the database.

(c) **Replicas** - This tab is used to view "replica" files stored in a user's directory. A Replica is usually a sub-section of the Master project that is accessed remotely.

(d) **Recent Projects** - Displays (x) number of projects recently accessed, where (x) can be set in Tools Preferences. This tab is helpful in locating any projects you have recently worked on.

(e) **Backups** - Displays TeamMate backup files (*.tmb files)

(C) STORING THE MASTER FILE DURING THE PROJECT

101. There are two available options for storing project files: Local Area Network (LAN) storage or Standalone (PC-based) storage.

(i) LAN-based Storage

102. When a TeamMate project is stored on the LAN, the entire team can access the file concurrently. Therefore, when performing project phases in the office, we should store the master project file on the LAN, in the appropriate TeamMate directory. This would include both planning and wrap-up phases, if occurring in the office. This is the current default settings.

(ii) PC-based Storage (Stand-alone Use)

103. For phases that take place outside our main office make use of the following storage method to allow for working in teams.

104. Move (see section below on moving entire audits) the audit from the Home Office LAN and store it on a team member's local laptop drive. Out in the field, this team member will maintain the Master Project and distribute Replicas to, and receive Updates from, other team members.

105. Team members will document work performed, review work papers, and create review notes in Replicas and then create Updates for merging work performed in Replicas back into the Master Audit. Use the PC-based storage method when performing projects in locations where LAN or WAN connectivity is not possible or reliable.

(D) USING REPLICAS

106. While **working in the office**, the TeamMate Master Project File is to be stored on the database via the LAN.

107. Should one or more of the **team members** need to work **away from the office**, they are to take a **replica** of the Master File (that is on the Network) to their Local Tab for remote use.

108. When the **audit team** is **working out of the office**, one team member is to move the Master File to his or her **Laptop** (onto their Local Master Tab) and share the file via replicas with his or her team.

109. **Replicas** are to be **merged** back into their Master Files **daily** – end of day.

110. When the team **returns to the office** at the end of the assignment, all replicas are to be merged back into the Master File, and the Master File is to be moved back onto the **Network**.

(E) MOVING MASTER PROJECTS

111. In order to move a Master Project from one location (e.g., your C: drive) to another location (e.g., the LAN), perform the following steps (NOTE: these instructions are for moving the entire Master Project – this is not the method for creating a Replica file that you will use to work on a portion of the project.):

(a) Before beginning the Move process, back-up the Master file. Also, before moving the project, you must ensure that no other team member is currently accessing the project file.

(b) From the TeamMate Explorer, select the audit that you wish to move. Then ensure that no other team member is working on the project. Create a backup of the project and copy it to your memory stick. Delete the project on the network.

(c) Install the backup of the project on your laptop. Create replicas for the team. Once the field work is completed, merge all updated replicas. Run backup of the updated project. Copy the backup on the memory stick.

(d) When returning to WIPO HQ, reinstall the project on the LAN from your backup.

Work performed on two separate master files cannot be merged together. You do not want two master files of the same project in existence.

10. IOD TEAMMATE CONTACTS

For assistance on TeamMate, do not hesitate to contact your administrators:

Alain Garba
Tel: 8382
E-mail: alain.garba@wipo.int

Sashidhar Boriah
Tel: 7388
Email: Sashidhar.Boriah@wipo.int

Tuncay Efendioglu
Tel: 8958
Email: tuncay.efendioglu@wipo.int

ANNEXES

Annex I.	Categories
Annex II.	Policies
Annex III.	TeamCentral Policies

ANNEX I

Titles	WIPO Categories	Titles	WIPO Categories
Project Type	Project Types Operational process and controls review IT Compliance Fraud Financial	Project Location	Project Locations Geneva Brazil Kenya Bangladesh
Project Scope	Project Scopes Full Scope Limited Review	Project Origin	Project Origin Annual risk assessment Management request IAOC request Member state request Other
Project Type	Project Staff Types Internal staff Outsourced Co-sourced	Project Source	Source IAOD External Evaluations External Audit IAOC JIU Other
Issue Type	Issues Type Program Management Procurement Information management Treasury Management Internal Controls Compliance Human Resources Performance Management WIPO Academy IT Ethics Financial Management Security Management Reporting Asset Management Development Agenda	Issue Impact	Impact Catastrophic Critical Moderate Marginal Negligible
Likelihood	Likelihood Almost Certain Likely Probable Possible Unlikely Rare	Risk	Risk Very High High Medium Low
Evaluation Criteria	Evaluation criteria Effectiveness Relevance Impact Efficiency Economy	Priority	Priority High Medium Low

ANNEX II

Titles	WIPO Policies
Integration Policies	**Integration Policies** ☑ Automatically associate imported PDF documents with TeamImage ☑ Recommendations are tracked in TeamCentral ☑ Allow realtime issue tracking
Security Policies	**Security Policies** ☐ Restrict profile editing to Project Ownership team ☑ Restrict Save as Template to Project Ownership team ☐ Restrict Replica Discard to Project Ownership ☐ Do not encrypt third-party documents ☑ Allow 360 Report Import by normal users (otherwise restricted to Project Ownership team)
Customization Policies	**Customization Policies** ☑ Hide Scorecards ☑ Hide Profile Risks ☑ Hide Profile Custom Properties ☑ Automatically total the issue impact values to Profile Summary
Workflow Policies	**Workflow Policies** ☑ Automatically assign added procedures ☑ Automatically assign added work papers
Finalize Policies	**Finalize Policies** ☐ Restrict finalization process only to Project Ownership team ☑ Restrict finalization if replicas are outstanding ☐ Restrict ability to un-finalize ☑ Force HALT for Issues not reviewed ☑ Force HALT for programs not reviewed ☑ Force HALT for work papers not reviewed ☑ Force HALT for procedures not reviewed ☑ Force HALT for procedures not reviewed or prepared ☑ Force retention of coaching notes ☐ Force retention of complete edit history ☑ Prevent Implementation Tracking for Issues not reviewed

ANNEX III

Configure the policies as desired and click 'Save' to save your changes.

Workflow Scenarios

- ○ Workflow between Auditor and Contact with Contact approvals
- ◉ Workflow between Auditor and Contact with no Contact approvals
- ○ Workflow controlled by Auditors but contacts can view
- ○ Workflow is for Auditors only

Additional Workflow Rules

- ☑ Permit implementation dates to be revised
  - ☑ Require comments for all revised date
- ☑ Require comments for all implemented actions
- ☐ Permit Contributors to submit an implementation action
- ☐ Permit Final Approvers to submit an implementation action
- ☑ Require comments for all re-opened recommendations
- ☐ Close projects automatically when the last recommendation is closed

Selected IC Group <None> will be assigned as the default Implementation Coordinator if recommendations do not have one in EWP.

Status Update Reminder:	2	days prior to next status update, an email will be sent.
Status Update Overdue Notice:	2	days after the next status update due date, an email will be sent.
Implementation Reminder:	14	days prior to the implementation due date, an email will be sent.
Implementation Overdue Notice:	7	days after the implementation due date, an email will be sent.

Auditor Access to Projects and Issues

- ○ All registered Auditors
- ○ Auditors assigned to Project, Auditors in the Project Access Group, or Audit Management
- ◉ Project Lead, Project Manager, Audit Management or Implementation Coordinator
- ○ Audit Management or Implementation Coordinator

Contact Access to Projects and Issues

- ☑ Do not permit EWP project contacts from having access to issues

Recommendation Display

- ☐ Hide Issue Tab
- ☐ Hide History tab
- ☐ Hide Impact sub-tab on Issue Tab

Recommendation Editing

- ☑ Permit Administrators
- ☑ Permit Implementation Coordinators
- ☑ Permit Project Managers and Project Leads
- ☑ Enable editing of text fields
- ☑ Enable editing of properties