WIPO
WORLD
INTELLECTUAL PROPERTY
ORGANIZATION

Internal Oversight Division

Reference: IA 2015-07

Audit Report

Audit of the Management of WIPO Customer Services

December 22, 2015

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LIST OF ACRONYMS

ACD	Automated Call Distribution
AMC	Arbitration and Mediation Center
BCM	Business Continuity Management
CS	Customer Service
CSB	Customer Service Board
DPPF	Department of Program Planning and Finance
HRMD	Human Resources Management Department
ICS	Individual Contractual Services
ICTD	Information and Communication Technology Department
IOD	Internal Oversight Division
OTRS	Open Ticket Request System
P&B	Program & Budget
PCT	Patent Cooperation Treaty
PCT RO/IB	Patent Cooperation Treaty Receiving Office/ International Bureau
PPBD	Program Performance and Budget Division
SRP	Strategic Realignment Program
UN	United Nations
WIPO	World Intellectual Property Organization
WINS	WIPO Inquiry Notification System

EXECUTIVE SUMMARY

The current organizational set up of customer services at the World Intellectual Property Organization (WIPO) is decentralized, with over 200 persons involved in providing customer services in approximately eight distinct units. While each unit has developed its own approach to customer services based on their specificities, the Customer Service Section within the Communications Division is the only unit that deals with cross-sector customer requests.

At present, it is a challenge to ensure that customer service strategies and practices developed within each customer service unit are consistent with the WIPO Service Charter, and strategic objectives of the Organization. This is because in the current organizational set up, common goals, roles and responsibilities have yet to be set/clarified, and an entity-wide strategy and framework for customer service is yet to be established.

Proposals to establish a Customer Service Board ("the Board"), and expand the mandate of the Customer Service Section, have in principle been approved by the Director General, but the implementation is still pending. Establishing a fully functional Board would enable the Organization to: establish a common strategy, standardize practices, and create synergies by improving collaboration amongst the relevant WIPO units involved in interacting with customers. This would help improve the overall customer relationship management.

Further, the Customer Service Section can achieve more results in its current efforts to harmonize and improve customer services across the Organization, if its expanded mandate, approved by the Director General in 2013, was published.

While establishing a Customer Service Board, and communicating on the expanded mandate of the Customer Service Section would serve to harmonize and further improve customer services at WIPO, these actions should subsequently be accompanied by a resource gap analysis to ensure that the existing human resources is sufficient and adequately equipped to achieve customer service management objectives and expected results across the Organization.

Finally, systems and tools to manage customer services vary across the units involved in that activity, which could lead to inconsistent service delivery across the Organization. Reviewing and harmonizing the current systems and tools would help avoid substandard services, cost inefficiencies in resources management, and inaccurate reporting on operational performance of WIPO customer services.

1.   BACKGROUND

1.   Service Orientation is a core value for WIPO, and customer service is part of WIPO's strategic Objective VIII: A Responsive Communications Interface between WIPO, its Members and all Stakeholders. Customer service is an essential component of high quality service delivery that enables WIPO to increase revenue streams while providing premier services.

2.   Customer services in WIPO are decentralized as each business unit has established its own customer services practices. These include the Patent Cooperation Treaty (PCT), Madrid and The Hague Systems, Arbitration and Mediation Center (AMC) and Finance Division. Units such as the Human Resource Management Department (HRMD) and Premises Infrastructure Division, deal with internal customers as well. The Customer Service Section within the Communications Division (Program 19), is the only unit that deals with cross-sector customer requests.

Figure A: Organizational Set up of Customer Services at WIPO[1]

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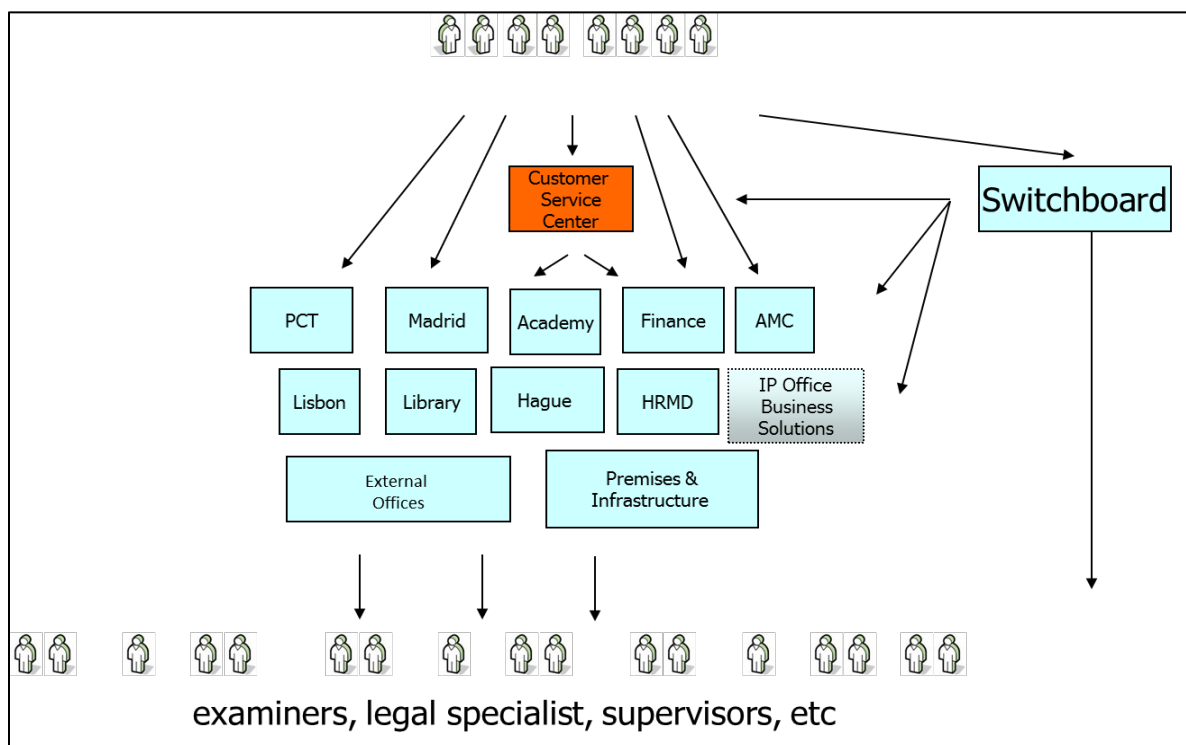
[1] The figure depicts WIPO units that use a tool for customer services and or have a generic phone number for internal and external customers. The IP Office Business solution providing support to users of the IP office Administration System, Digital Access System, and the Centralized Access to Search and Examination Reports.

3.   As part of the Strategic Realignment Program (SRP)[2] initiative, the Customer Service Section was assigned the task of improving customer interface and experience, by establishing and managing the following activities:

(a) A customer service center;

(b) Round the clock customer services;

(c) Trainings on customer service delivery;

(d) An open ticket request system;

(e) The use of surveys to measure customer satisfaction; and

(f) A routing table to manage queries redirection to all WIPO services.

4.   These activities were successfully implemented between 2010 and 2015, with a formal WIPO Service Charter being issued in March 2015. WIPO plans to subsequently publish this Charter on the WIPO public website.

5.   Customers have various channels of communication with WIPO, including telephone, e-mails, face-to-face, and the "Contact Us" page on the WIPO website.

6.   The WIPO Inquiry Notification System (WINS) is used to track customer enquiries that arrive through e-mails, telephone and the WIPO Website. The table below lists units that use this system for both internal and external customers.

Table 1: WIPO Inquiry Notification System – Number of tickets created (January 1 to June 30, 2015)

Unit	2014	2015 (to June)	Total
Academy	1,436	689	2,125
Buildings	4,766	2,950	7,716
IP Office Business solution	4,300	1,142	5,442
Customer Service	16,806	3,954	20,760
Finance	22,474	12,209	34,683
HRMD	29,927	15,767	45,694
LISBON	918	1,046	1,964
Madrid	598	32,099	32,697
Total Tickets	**81,225**	**69,856**	**151,081**

Source: WIPO Inquiry Notification System (WINS)

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[2] See WIPO Strategic Realignment Program Roadmap April 2010

7.   The customer services unit of PCT Operations have acquired a dedicated system to manage customer services while the other customer service unit within PCT dealing with legal queries, uses a bespoke tool developed with Microsoft Access©. The Hague System is considering integrating the WINS user group, and the customer services units within the AMC, and the WIPO Academy[3] currently use Microsoft Outlook© to manage customer email queries.

Table 2: CallTax Statistics - January to June 2015

Team	Received	Answered by Agent	Answered by Agent (%)	Answered by Voicemail	Answered by Voicemail	Answered by Voicemail (%)	Abandoned	Abandoned (%)
Academy Info-desk	416	149	36%	260	63%		7	2%
AMC	1,768	1,627	92%	132	7%		7	-
Client Records Unit	717	539	75%	85	12%		3	-
Customer Service Center[4]	492	262	53%	-	-		-	-
Finance Service Desk[5]	1,716	912	53%	449	26%		1	-
Hague Customer Service	42	21	50%	21	50%		-	-
Madrid Customer Service	15,658	9,348	60%	5,002	32%		19	-
Madrid Teams	5,580	3,845	69%	754	14%		61	1%
PCT e-Services	1,056	887	84%	140	13%		-	-
PCT Information Service	2,981	2,139	72%	593	20%		24	1%
PCT Processing Teams	2,814	2,462	87%	325	12%		11	-
PCT RO/IB	1,481	1,166	79%	309	21%		6	-
Switchboard	20,718	20,215	98%	9	-		171	1%
Total	**55,439**	**43,572**	**79%**	**8,079**	**15%**		**310**	**1%**

Source: CallTax© System

8.   The CallTax© system is used to provide statistical data (table above) on calls received through the generic phone numbers assigned to various customer service teams across the Organization.

9.   An Automated Call Distribution (ACD) system is currently being implemented in the Madrid System. The ACD will distribute incoming calls to a specific group of terminals or customer service agents based on pre-set criteria such as: the customers' selection, customers' telephone number, selected incoming line, or time of day when the call is received.

10.   The new system is expected to: (1) improve phone calls responsiveness rate, and the quality of interactions with customers, and (2) facilitate ticket creations for incoming calls, to improve tracking. The decision to deploy the system to other customer services units will depend on the results obtained in the Madrid System.

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[3] The Academy uses both WINS and Microsoft Outlook©
[4] For operational reasons the Customer Service Center uses also a mobile phone to take queries. Calls received on the mobile phone cannot be monitored by the Calltax application. In the table they represent the missing calls, namely 47%
[5] This Calltax report includes calls received from 9.00 a.m. to 6.00 p.m. (non-stop) but Finance Service Desk actual opening hours are 10.00 a.m. to 12.00 p.m. and 2 p.m. to 4 p.m.

2.   AUDIT OBJECTIVES

11.   The objectives of this audit were to:

(a) Review the effectiveness and efficiency of the key business processes including the current organizational structure, risk management, and control processes relating to WIPO's customer services;

(b) Review the effectiveness and efficiency of operational and resource management, and an assessment of information systems and tools; and

(c) Assess that appropriate performance measures have been set and achieved by customer services units at WIPO.

3.   AUDIT SCOPE AND METHODOLOGY

12.   The audit scope included operations, systems and processes related to customer services from 2013 to 2015. The methodology included: analytical reviews, walkthroughs, sample testing if and when required, document reviews and interviews as appropriate. Specifically, IOD:

(a) Interviewed key staff to gain an understanding of the organizational set up, risk management and controls practices for managing customer services;

(b) Reviewed the current organizational structure of customer services to gain an understanding of, and assess effectiveness of, how the various customer services units interact among themselves to efficiently deliver services in line with set objectives;

(c) Further assessed:

(i)   the current structure of customer services delivery in WIPO to ensure that it is optimal and fit for purpose;

(ii)   adequacy of methods and tools used to, measure customer satisfaction, and report on performance and outcomes;

(iii)   appropriateness of: (1) the budget, (2) human resources, (3) staff skillsets and competencies, to provide quality customer services; and

(iv)   information systems and tools, to ensure that they provide adequate support, and timely and accurate information to management.

13.   The audit was performed in accordance with the International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors (IIA).

4.   AUDIT RESULTS - ACHIEVEMENTS

14.   The Customer Service Section within the Communication Division has taken commendable steps to improve customer service management at WIPO by establishing and implementing the following actions:

(a) Establishing the WIPO Customer Service Center to respond to cross-cutting enquiries and complaints from external customers, and provide a round-the-clock customer service;

(b) Coordinating the creation of customer communication channels (such as corporate mailboxes and phone numbers); and enhancing the "Contact Us" feature of the WIPO website;

(c) Organizing customer services related training for approximately 500 participants. This involved meeting with the relevant Programs to capture their needs, in order to develop fit for purpose trainings;

(d) Planning and implementing a ticketing system (WINS), to improve customer query handling and the underlying work processes;

(e) Establishing customer service guidelines, routing table and related service catalogue to improve consistency, quality and timeliness of services;

(f) Advising customer services units on good practices, and policies, including developing the WIPO Service Charter and the WIPO Netiquette[6];

(g) Developing and administering customer satisfaction surveys for related Programs, including presenting results and making recommendations.

5.   AUDIT OBSERVATIONS AND DRAFT RECOMMENDATIONS

15.   While acknowledging the significant progress made in customer service management at WIPO, the following observations and recommendations would help further, improve the overall management of customer services, and enhance WIPO's image and reputation.

A. CUSTOMER SERVICES GOVERNANCE

(i)   A Customer Service Board

16.   A clear institutional vision, strong leadership, including top-level accountability, and visible commitment to customer focus are the basis for an effective an efficient customer service management. While the Organization has identified customer service orientation as a core value, a clear organizational structure with clear governance, defined strategy, and customer service framework is not in place.

17.   Presently, customer services at WIPO is decentralized within each business area, notably, PCT, AMC, Finance Division, Communications Division, Trademarks, The Hague, and Lisbon Systems. Although the Director General has approved the proposal to establish a Customer Service Board, and a draft Office Instruction (OI) has been prepared to that effect, the Board has not yet been established, and the OI is yet to be published.

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[6] The WIPO Netiquette offers a set of informal guidelines to help improve internal and external email communication

18.   The absence of a clear governance structure for customer services, with well-defined roles and responsibilities, may result in disparate customer service initiatives, and increase operational risks and inefficiencies which would then impair the achievement of organizational objectives *vis-à-vis* customer services and the image of the Organization.

(ii)   A Customer Service Strategy

19.   The current decentralized structure of customer services and the absence of coordination at corporate level, results in various isolated customer services strategies, with initiatives that may not be globally coherent and linked to the strategic objectives of the Organization.

20.   While initiatives taken under the SRP to improve customer service interface and experience[7] have yielded positive results, the Organization still needs to develop an organization-wide customer service strategy to clearly define objectives, and guide customer service units in developing their business plans.

21.   The absence of such a strategy could lead to mismatched objectives and initiatives, resulting in inefficient use of resources and inconsistent and poor levels of services that could be detrimental to WIPO's reputation and image.

(iii)   A Customer Service Policy/Procedures Framework

22.   A customer service framework would help align governance, objectives, standards, and practices, and help maintain a consistent approach for serving customers.

23.   While WIPO has already developed various components of a customer service framework such as, the WIPO Service Charter, and service catalogues, the Organization has yet to develop a comprehensive framework in line with the core value of customer service orientation and strategic objectives of the Organization. This is primarily due to the absence of a senior group responsible for establishing such a framework, and approving customer service strategies and plans at an organizational level.

24.   Going forward, an integrated entity-level customer service framework should be developed to include existing and additional components such as:

(a) *Quality Assurance standards* - Currently, different customer services within the Organization have developed separate quality controls processes; with some more intuitive than others. Furthermore, these quality checks do not systematically include an assessment of response and resolution time for addressing requests, among others. As a result, there is uncertainty on the uniformity and reliability of customer services quality measures applied throughout the Organization.

(b) *Training and Development* - While acknowledging the efforts made to provide training either by individual customer service units or collectively with the assistance of the Customer Service Section, a more coordinated action is needed to ensure that efforts are not duplicated, training methods are cost efficient, and the acquired skills and knowledge are kept up-to-date.

25.   The absence of an organizational customer service framework may result in decisions and actions taken in isolation that could impair WIPO's ability to achieve the objectives set out in the WIPO Service Charter, and hence impacting both customer satisfaction and WIPO's image.

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[7] See WIPO Strategic Realignment Program Roadmap April 2010

(iv)   The Mandate of Customer Service Section

26.   The Customer Service Section within the Communications Division is the only unit that deals with cross-sector customer services. This Section has worked with other units in developing, *inter alia,* a WIPO Service Charter, service catalogues, and guidance on managing customer services.

27.   An extension of the Customer Service Section's mandate was proposed and approved by the Director General at the end of 2013. However, this revised mandate is yet to be formally communicated within the Organization. This has consequently limited the effectiveness and range of actions taken by the Customer Service Section to implement cross-sector improvements.

28.   Also, given the evolving customer service environment and the current decentralized structure of WIPO's customer services, the Organization would benefit from reviewing the mandate approved in 2013 to ensure that it is still fit for purpose and includes functions that would help implement: (1) consistent customer service standards and practices; and (2) a common methodology for monitoring and reporting on performance of customer services. This will help avoid potential misalignments and substandard practices that would impact both quality of services and customer satisfaction.

(v)   Cooperation among Customer Services Units

29.   The various WIPO customer services do not sufficiently draw from their collective experiences to develop initiatives and features to enhance both the customer experience and relationship. This is because currently, emphasis is placed more on responding to, and resolving customer queries than on developing measures to build a relationship with customers.

30.   Better understanding of customer expectations, and more effective cooperation among units that interact with customers[8], would enable the Organization to shift towards customer relationship management. This could be achieved through collaborative efforts such as:

(a) Profiling customers, in order to preempt their needs and improve customer experience;

(b) Identifying synergies that would contribute towards enhancing the customer interface and experience;

(c) Sharing information that could be compiled into a self-service knowledge database available to the customer; and

(d) Identifying adaptable features among the various systems used to manage customer services, to improve customer service delivery.

31.   A more proactive, coordinated and collaborative approach to customer services would shift the current process from a disparate customer query response system towards an integrated customer relationship framework that would enhance both customer experience, and WIPO's customer service delivery.

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[8] These include units involved in activities such as: Information and Promotion, Legal Advice, Systems Support, Communications and Customer Services

Recommendations

The Communications Division should:

1.   Collaborate with the Office of the Director General to review, finalize and publish both the: (1) Office Instruction on the establishment of the Customer Service Board, and (2) extended mandate of the Customer Service Section (Priority: High)

2.   Consult with the Office of the Director General and other relevant Programs, in order to develop a customer service strategy that would serve as the overarching guide for WIPO customer services initiatives. (Priority: High)

3.   Work with other customer services units to develop a customer service framework by integrating existing and new components such as, common quality assurance, and training & development standards. (Priority: High)

4.   Work with other customer services units to develop a plan and schedule for implementing activities that would improve customer relationship management. (Priority: High)

B. CUSTOMER SERVICES OPERATIONAL MANAGEMENT

(i)   Outsourcing in Customer Services

32.   The use of agency personnel contracted through employment agencies is not uncommon within the various customer service units of WIPO. For example, Madrid and The Hague Systems, and the Customer Service Section, employ agency personnel to respond to calls. Although this practice may reduce immediate costs, the long run benefits may be eroded because of potential increases in training costs associated with replacing temporary agency personnel.

33.   Furthermore, not all functions can be outsourced and a cost benefit analysis would be useful to identify the appropriate functions to outsource, while maintaining the quality of services. An Organizational level analysis could be envisaged by a Customer Service Board, once it has been established.

(ii)   Managing Customer Complaints

34.   Setting roles and responsibilities for complaints resolution, and categorizing complaints received is important for meaningful root cause analysis and management reporting.

35.   Apart from The Madrid System and the Customer Service Section that have clearly defined complaints, and developed a formal escalation mechanism, the other business units have not all undertaken that exercise, and their approach to addressing complaints is rather intuitive. Indicatively, 18% of respondents to the PCT survey of 2015, and 21% of respondents to the Madrid and Finance 2014 survey have filed a complaint at WIPO.

36.   Developing formal procedures will ensure a consistent approach for managing complaints including, uniform documentation and retention standards.

(iii)   Assessment of Customer Service Related Risks

Some parts of this observation have been redacted due to the sensitive nature of the information.

37.   The review of the program risk registers indicates that more efforts are needed so that relevant risks are accurately captured and mitigation plans are fully developed to address these risks; and although some Programs have identified risks that could be linked to customer services, these risks need to be more explicit and be linked to the objectives of the WIPO Service Charter.

38.   Risk management is ongoing in WIPO, and IOD proposes that the Office of the Controller, work with relevant customer facing programs in identifying and formulating customer service related risks, and update related guidance on work planning and risk management accordingly.

Recommendations

5.   The Communications Division should work with other customer services, to develop a formal policy on managing complaints, including uniform documentation and retention standards. (Priority: Medium)

C. CUSTOMER SERVICES PERFORMANCE MANAGEMENT

(i)   Performance Metrics Linked to the WIPO Service Charter

39.   While WIPO has developed and issued a WIPO Service Charter that outlines commitments and standards of its services[9], and considering that WIPO plans to subsequently publish the Charter on the public website, the Organization has yet to set relevant performance metrics to measure achievement of the objectives and standards set in the Charter, and linked to the Program and Budget.

40.   Customer service units at WIPO have not formally agreed on common performance indicators and targets associated to the WIPO Service Charter. These units do not all use the same tools, and hence, both the types of indicators and methods to measure indicators differ among customer service units.

41.   The absences of clear customer service performance metrics linked to the Charter, and strategic objectives, would lead to inconsistent service delivery, and cause customer dissatisfaction that could potentially lead to loss of business; hence impacting WIPO's revenue streams.

(ii)   Collecting Customer Feedback

42.   Surveys are useful to collect customer perceptions, as well as a tool to measure quality, timeliness, accuracy, and appropriateness of services.

43.   Customer services within WIPO have made efforts to administer surveys to different groups of stakeholders, either individually or with assistance from the Customer Services Section. For example, the PCT has been administering surveys since 2009, and between 2012 and 2015, the Customer Service Section has successfully administered surveys for Finance Division, PCT, The Madrid and The Hague Systems.

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[9] There are four key standards: timeliness, professionalism, reliability and value

44.   However, there are other customer service units that can benefit from a survey, such as the WIPO Academy and the AMC. Although these units have developed some form of feedback mechanism, centralizing survey management would provide customer services with uniform and comparable performance data that can be used for effective decision making at an organizational level.

45.   In addition to surveys, customer services could benefit from implementing tools to gain a quick insight on customer perceptions such as:

    (a) Instant feedbacks;

    (b) Online forums; and

    (c) Customer focus groups[10],

46.   These alternatives to annual surveys would serve to implement quick fixes, as well as provide early warning signals on customer issues.

<div align="center">(iii)   <u>Monitoring Implementation of Customer Feedback</u></div>

47.   While, surveys administered for the PCT (2015), Madrid System (2014), and Finance Division[11] (2014), highlight progress made by their respective customer services, they also point out key issues that need to be addressed in order to improve customer experience and better meet customer expectations.

48.   Programs have responded by initiating changes to further improve the customer experience; notably, Madrid System is currently undertaking a customer service project partly based on results of surveys, and in collaboration with the Customer Service Section.

49.   However IOD observed that in practice, there are no procedures and tools in place to monitor the implementation of key recommendations derived from surveys[12]. Each customer service unit has developed its own practice and no controls exist to ensure that changes are communicated appropriately, efforts are not duplicated, and planned actions have been timely taken. For example, an issue raised in the 2012 Finance Division survey has yet to be resolved because of lack of resources, and other issues are still a work in progress to date.

50.   WIPO would benefit from developing a procedure and tool to: (1) monitor action plans derived from issues raised in the various surveys, in order to better monitor their effective implementation, and (2) report the status of implementation of these actions to help improve accountability, management buy-in, and the overall implementation rate.

Recommendations

The Communications Division should:

6.   Work closely with other customer services to develop a set of performance metrics based on the WIPO Service Charter; and linked to the expected results of the Program and Budget. (Priority: High)

7.   Consult with other customer services to: (1) assess the benefits of, and develop a plan to implement other feedback mechanisms such as instant surveys, fora, and focus groups; and (2) develop a tool to monitor and report on the status of implementation of relevant feedback received from surveys. (Priority: Medium)

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[10] The PCT has been using customer focus groups.
[11] The survey concerns only the Section of the Finance Division that deals with Madrid, Hague and PCT Systems' payments.
[12] Apart from the Madrid customer service project that integrates a monitoring mechanism.

D. SYSTEMS AND TOOLS FOR CUSTOMER SERVICES

(i)   Ticketing Systems for Customer Services

51.   WIPO customer services currently use different tools and applications to manage customer service requests, as presented in the table below.

Table 3: Systems and Tools used to Manage Customers

Unit	PCT Operations	PCT-Infoline	Finance Division	Madrid System	Customer Service Section	The Hague System	The Academy	Arbitration and Mediation Center
Systems & Tool	Implementation of KANA Express©	Microsoft Access©, and Microsoft Outlook©	WINS	WINS	WINS	Microsoft Outlook©	WINS & Microsoft Outlook©	Microsoft Outlook©
Reporting	Implementation of KANA Express©	Microsoft Access© and Microsoft Excel©	WINS report	WINS report	WINS report	None	None	None

52.   The current configuration presents the following challenges:

(a)   Incompatibility between systems and tools;

(b)   Performance data vary among systems;

(c)   Performance cannot be easily measured if queries initiated through one system were resolved in another system;

(d)   The IT infrastructure is not efficient with more than one system or tool used for the same tasks; and

(e)   Data on customer services held in multiple repositories leading to multiple interfaces, potential duplicates and lost opportunities to streamline the process.

53.   Under the current conditions, (1) reporting on indicators will not be representative of the real volume of exchanges since interactions outside the ticketing systems are currently not effectively measured, and (2) the combination of systems in use would generate additional overhead such as maintenance, licensing and development costs.

(ii)   Tracking Calls in Customer Services

54.   The CallTax© system was implemented to provide statistical data on call received through the generic phone numbers assigned to various customer service teams across the Organization. However, while users should raise a ticket when enquiries are received by phone, this is not systematically done and hence, the response and resolution time for issues raised during these calls cannot be measured.

55.   WIPO customer services would benefit from enhancing the current systems to facilitate raising tickets when enquiries are received by phone, in order to better monitor performance and against set standards.

(iii)   Customer Service Reporting Tool

56.   In 2011, the Customer Service Section of the Communications Division initiated a project aimed at developing a reporting tool for WINS. However, this tool has been revised and updated more than once over the last four years to cater for user requests. The third version of the tool is currently being tested.

57.   Also, the full development of this tool was further slowed by resource constraints; the Customer Service Section has been working with a staff on loan by PCT, who has worked on the development of the tool at various intervals over the last four years.

58.   Going forward, the variety of systems available should not prevent customer service units from: (1) identifying and agreeing on the type of indicators to be reported, and (2) developing a tool/interface to capture data from the existing systems, with a view to issuing a harmonized and uniform report on customer service performance across the board.

59.   The absence of a reporting tool, methodology and guidelines, would lead to inaccurate management information and impair sound decision making. This could impact the quality of service, as well as WIPO's image and reputation.

(iv)   Policy for Deactivating Generic Mailboxes

Some parts of this observation have been redacted due to the sensitive nature of the information.

60.   While there are multiple communication channels between WIPO and its customers, the number of available generic email entry points and the absence of a policy to regulate the lifecycle of these generic emails, present risks that the organization would need to address.

61.   The Information and Communication Technology Department (ICTD) is currently engaging with Programs to analyze these mailboxes with a view to setting-up criteria for deactivating those that exhibit certain characteristics over a period of time.

62.   It would be useful to develop a mailbox deactivation procedure based on accepted criteria, in order to help improve the management of mailboxes, and mitigate the risk of emails not being received in the right mailbox; thus causing delays and impacting customer satisfaction.

63.   This initiative could be part of the Communications Division's proposed work on a policy for managing the corporate communication channels (website, email addresses, generic phones, etc…).

(i)   Duplicate Generic Mailboxes

64.   The current configuration of the WINS system creates duplicate emails for customer services. This is because users want emails received to be stored both in WINS and in Microsoft Outlook for back-up purposes. However, this is not the correct use of WINS and as a result, approximately 42 emails have been duplicated, which has resulted in additional maintenance and archiving costs.

65.   Considering that more units may integrate the WINS system in the future, it would be relevant to monitor this cost with a view to eventually re-assessing the current configuration, to ensure efficient use and avoid unnecessary cost increase.

Recommendations

The Communications Division should:

8.   Consult with other customer services, and the Information and Communication Technology Department, to assess and propose changes the current customer services IT infrastructure with a view to enhancing the IT configuration, and improve customer service delivery across the board. (Priority: Medium)

9.   Work closely with other customer services to develop a template and tool for reporting on customer service performance. (Priority: Medium)

10.   Coordinate with the Information and Communication Technology Department to:
(1) develop and communicate a procedure for deactivating generic emails, and
(2) assess and propose an effective alternative to the current practice of creating duplicate mailboxes for WINS. (Priority: Medium)

ACKNOWLEDGMENT

IOD wishes to thank all relevant members of staff for their assistance, cooperation and interest during this assignment.

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ANNEX 1: RISK RATING AND PRIORITY OF AUDIT RECOMMENDATIONS

The risk ratings in the tables below are driven by the combination of likelihood of occurrence of events and the financial impact or harm to the Organization's reputation, which may result if the risks materialize. The ratings for audit recommendations are based on the control environment assessed during the audit.

Table 1.1: Effectiveness of Risks/ Controls and Residual Risk Rating

		Compound Risk Rating (Likelihood x Impact)			
		Low	**Medium**	**High**	**Very High**
Control Effectiveness	**Low**	**Low**	**Medium**	**High**	**Very High**
	Medium	**Low**	**Medium**	**High**	**High**
	High	**Low**	**Low**	**Medium**	**Medium**

Table 1.2: Priority of Audit Recommendations

Priority of Audit Recommendations	Residual Risk Rating
Requires Immediate Management Attention	**Very High**
Requires Urgent Management Attention	**High**
Requires Management Attention	**Medium**
Routine in Nature	**Low**