

Board Chair Cover Note

Audit & Investigation Reports issued by the Global Fund's Office of the Inspector General on 1 November 2011

Dear Reader,

Today, the Global Fund has released eight audit reports, three investigation reports and one review of Global Fund systems by its Office of the Inspector General. The Inspector General regularly conducts audits and investigations. The audits are part of the Global Fund's regular and routine efforts to ensure that grant money is used as efficiently as possible. The investigations have arisen out of suspected wrong-doing found during audits.

It is unusual to release so many reports at one time. Ordinarily, reports of the Office of the Inspector General are released to the Board as and when they are finalized. On this occasion we agreed that these reports would be finalized after completion of the *'The Final Report of the High Level Independent Review Panel on Fiduciary Controls and Oversight Mechanisms of the Global Fund'*. This ensured that the Global Fund Board, Secretariat and Inspector General could focus fully on the report of the High Level Panel and its recommendations.

The reports are:

- Audit Reports: Dominican Republic, Sri Lanka, Nigeria, Swaziland; four reports relating to the work of Population Services International (South Sudan, Madagascar, Togo, and Headquarters)
- A Review of the Global Fund Travel and Travel-related Health and Security policies
- Investigation Reports: Mauritania, India, and Nigeria

The country-specific reports cover grants from different Global Fund financing 'Rounds', and have implementation start dates commencing at various times since early 2004. Together, the reports review around US\$ 1 billion of grant financing. These reports take into account as far as possible, a number of the High Level Panel's recommendations. The Reports include comments from the Principal Recipients and contain a thorough management response and action plan from the Secretariat. Increased attention has been paid by the Office of the Inspector General to the tone of the Reports, without diluting the important message that each carries.

Specifically, the Reports tell us that the Global Fund must seek to recover up to US\$ 19.2 million from grants in eight countries. Around US\$ 17 million of this amount is for activities that are poorly accounted for, were not budgeted in the work plan, or fall within the Global Fund's current definition of an ineligible expense, which is an area that the High Level Panel report suggested be clarified for Principal Recipients. Some of the grant implementer responses contest relevant findings. From the perspective of the Office of the Inspector General, the reports present the evidence that has been found and recovery should be sought in full.

The Nigeria investigation report, which led from the audit, brings to the surface once again issues with the Local Fund Agent engagement model – raised very proactively also in the Inspector General’s reports for Mali in December of last year.

Whilst in no way seeking to reduce the importance of the concerns that come from the three investigation reports, they do come at a time when the Global Fund knows that it has to transform how it manages its grants – and how – most importantly – it proactively addresses risk in its portfolio. This cannot entirely prevent mismanagement in all grants, but it will certainly provide a better framework on which resources are channeled to partner countries.

At its November 2011 meeting, the Global Fund Board will consider a Consolidated Transformation Plan to bring into effect the High Level Panel’s recommendations on risk, grant management and improved fiduciary oversight.

More reports will come from the Inspector General and irregularities will continue to be found given the increasingly complex environments in which the Global Fund works. The Global Fund continues to strive to prevent loss, and we must ensure that the organization has the systems that enable us to take purposeful and immediate action when irregularities are discovered. Where there is dishonesty, we must pursue those involved.

The Global Fund is committed to the mission of saving lives and assisting countries in building strong and sustainable health systems. Emerging as an issue over the last years, but now very firmly confirmed from the Report of the High Level Panel, the Global Fund must be transformed at all levels.

The Consolidated Transformation Plan will provide the Secretariat, the Office of the Inspector General, and the Board with the means to make this transformation, and ensure ongoing service and accountability to the people whose lives we must save, and to those that fund that cause.

Best regards,

Simon Bland
Board Chair



THE OFFICE OF THE INSPECTOR GENERAL



The Global Fund to Fight AIDS, Tuberculosis and Malaria

Review of Global Fund Travel and Travel-related Health and Security Board Version

Audit Report GF-OIG-11-008-B (rev)
03 November 2011

In accordance with Recommendations 1.4 and 1.5 of the Final Report of the High-Level Independent Review Panel on Fiduciary Controls and Oversight Mechanisms of the Global Fund to Fight AIDS, Tuberculosis and Malaria, this report has been edited to serve a specific audience. This document contains the report's executive summary, audit overview, background and Secretariat action plan, and is intended for Global Fund Board use. It has been redacted from the full report, which was provided to the Secretariat.

EXECUTIVE SUMMARY

Introduction and Findings

1. Travel and travel-related services are essential to Global Fund operations and account for a substantial proportion of Secretariat expenditure: The 2010 travel budget was US\$ 20 million, 10% of the Secretariat budget.
2. Until 31 December 2008, the Global Fund obtained basic administrative services, including travel, from the World Health Organization. From that time onwards, the Global Fund took full responsibility for its own travel, health and security services. There was no transition period and it is commendable that travel was not affected adversely after the transition and that travel related structures, policies and regulations were established and were operational.
3. In accordance with its charter and audit plan, the Office of the Inspector General undertook an audit of the Global Fund's travel and travel-related health and security arrangements in the final trimester of 2010.
4. Based on our audit, the OIG is able to provide the Global Fund Board with reasonable assurance that regulations pertaining to travel are appropriate to manage travel-related risks and costs. However, at the time of the audit there existed a need to ensure better compliance with these regulations.
5. The OIG is not able to provide reasonable assurance that at the time of the audit the security of staff traveling to high and extreme risk countries was managed optimally, or that the health-related aspects of travel had appropriate management controls in place.
6. The OIG also cannot provide reasonable assurance that at the time of the audit the Global Fund managed service providers for travel, and for travel-related security and health services, in a manner that ensured quality and value for money.
7. As shown in the attached action plan, the Secretariat has begun to implement in large measure many of the recommendations from this audit.

Travel

8. Global Fund travel regulations can be strengthened further to reflect the unique circumstances of the Global Fund. Specific risks and controls that would benefit from revision include travel expense policies, exchange rates, ownership and use of frequent flier miles, compensatory time off, and personal deviations from duty travel. At the time of the audit, the Global Fund had taken action to mitigate some of the risks identified.
9. There is a need for ensuring that travel regulations are well understood by travelers. A travel survey showed that two thirds of respondents had not received any formal travel-related training and that less than half of respondents fully

understood the regulations. This may have contributed to non-compliance, which resulted in missed savings on travel and frequent errors in reimbursement claims.

10. The travel management function is outsourced to Carlson Wagonlit Travel. Travel survey respondents rated CWT's performance well, with the exception of its ability to find low airfares and the effectiveness of its emergency service. Compared to travel management companies in similar organizations¹, CWT was rated as 'high service high cost' (i.e., the Global Fund was paying higher rates than industry averages for a broad bouquet of services), with lower productivity.

11. The cost structure of the Global Fund's contract with CWT would benefit from renegotiation to ensure that incentives exist for finding the lowest fares and that the total net cost and the average cost per transaction are no longer substantially higher than the industry average.

12. Consideration should be given to the following in order to ensure that better value for money in relation to travel is obtained:

- i. Fully applying regulations to ensure that travel is undertaken cost-effectively;
- ii. Making changes to the CWT fee structure and services offered;
- iii. Further exploring initiatives for reducing travel costs.

Security

13. The Global Fund includes critical security elements in its travel regulations. Consideration should be given to strengthening these regulations by ensuring that they take into account key risks, ensuring traveler compliance, ensuring senior level approval and clearance, and developing a crisis management plan.

14. The security function was outsourced to International SOS, which seconded a security officer to the Global Fund. The effectiveness of ISOS can be enhanced by incorporating performance indicators in the security firm's contract and by ensuring that all contractual tasks are fulfilled.

15. There is a need to ensure that the mechanisms put in place by the Global Fund to manage in-country physical security risks are sufficient and are accepted by its staff.

Health

16. The audit showed that travelers sometimes travel without proper medical clearance, and only some travelers had gone through an annual check-up or medical assessment to determine whether they were fit to travel. The existing regulation can be strengthened by defining the consequences of staff travel without consulting the medical team when traveling to high or extreme risk countries and/or after being declared "not fit to travel".

¹ The Global Fund was benchmarked against 13 organizations with similar travel arrangements i.e. high percentage of international travel, dedicated travel agency environment, highly varied travel patterns with numerous itinerary changes, limited use of online booking tools and decentralized business units (User Organizations).

17. The health function was outsourced to a medical team with a nurse visiting the Global Fund twice a week and a doctor available to assist staff with travel-related medical requirements. There is a need for making staff sufficiently aware of the services available. There is a similar need for imbuing the medical team with sufficient authority to take action in the event that they consider a staff member not fit to travel.

Oversight

18. The Administration Unit oversees the travel, health and security functions. The oversight of travel can be further strengthened by developing a formal strategy on travel that aligns travel to the overall organizational goals and by developing KPIs for the efficiency and effectiveness of travel arrangements and service providers.

19. There is a need to ensure that the activities of travel, health and security are well integrated and that they work collaboratively. A travel management system that enables management to report and monitor travel may assist in this.

20. There is a further need for developing a risk management plan that identifies and mitigates travel-related risk to travelers and the organization. A travel risk management program would help management take a proactive, coordinated approach to travel risk, rather than reacting once incidents have happened as was the case with the volcanic ash crisis.

21. The Secretariat has initiated commendable initiatives to reduce costs, e.g. increasing the time threshold for class of travel. There is a need to perform an analysis of such initiatives to determine whether they created the desired impact.

Conclusion

22. The Global Fund has regulations in place to provide guidance to travelers. These regulations are to a large extent adequate although there are several areas that could be strengthened further. There were areas of non-compliance noted arising from the lack of mechanisms to enforce compliance and/or lack of information/clarity on travel-related regulations. Non-compliance has resulted in missed opportunities to maximize savings and value for money.

23. The Global Fund has put in place arrangements to ensure the security and welfare of its travelers. However, concerns remain with regard to security of staff while in country, particularly when traveling to high and extreme risk countries. These arrangements are only effective to the extent to which they are applied.

24. There is a need to strengthen mechanisms to improve the productivity of service providers, reduce the workload and fees charged by service providers, and reduce costs of fares and of transactions costs. The performance of service providers should be monitored more closely to ensure that all terms of reference are met, quality services are provided and that value for money is ascertained.

AUDIT OVERVIEW

Audit Objectives

25. The OIG sought to provide the Global Fund Board with assurance that travel and security processes are administered in accordance with the laid down policies, procedures and guidelines and that value for money² is ensured. The audit identified opportunities for improvement and enhanced value for money through the assessment of:

- i. the adequacy and soundness of as well as compliance with established systems, policies and procedures;
- ii. whether appropriate documentation is in place to support travel;
- iii. whether controls are sufficient to prevent abuse of travel;
- iv. whether the systems and procedures developed result in effective, efficient and economical use of resources;
- v. the quality of services provided by the Global Fund travel team and the selected service providers; and
- vi. the effectiveness of arrangements to ensure security and medical welfare of travelers.

Audit Scope

26. The scope of the audit covered:

- i. operations related to all people that travel on Global Fund business, including non-staff, e.g. Board members, CCM members, service providers, etc.;
- ii. business and private travel to the extent that it was combined with business travel;
- iii. security and health to the extent that it was related to travel.

27. The audit did not cover the general security measures instituted within the Global Fund nor the general staff health policies. It did not cover the justification and approval of travel processes.

28. The audit was performed in the last trimester of 2010.

Audit Methodology

29. This audit drew upon the expertise of a travel specialist and the input of the UNICEF travel manager to quality assure the work.

30. The OIG held discussions with all service providers and many staff involved in the travel process. Focus group meetings were held with staff and non-staff travelers.

31. The OIG reviewed relevant documents i.e. contracts with service providers as well as their Standard Operating Procedures (“SOPs”). It performed walk through tests for established systems and reviewed a sample of documentation to support:

² Economy, efficiency and effectiveness

- i. 378 travel claims (10% of 2010 population);
- ii. 227 issued tickets (11% of 2010 population);
- iii. 184 payments (10% of the 2010 population);
- iv. 35 payments to International SOS (100% of the 2010 population); and
- v. All PMSE payments effected.

32. An end user (employee/traveler/arranger) survey was undertaken to provide the OIG with end user experiences with the travel arrangements in place and the quality of service provided. We received responses from 182 participants, 157 of whom were travelers and 53 administrators. Some administrators were also travelers.

33. The OIG benchmarked the Global Fund policies and practices against best practice, especially in similar organizations. The benchmarking was carried out with the understanding that no two entities can be exactly alike. It was therefore only possible to compare travel, health and security components but not the entire travel program. The Global Fund policies were benchmarked against policies in place at the World Health Organization (WHO), United Nations Children's Fund (UNICEF) and the International Federation of Red Cross and Red Crescent Societies (IFRC). The OIG bore in mind that these organizations all have offices outside Geneva which is not the case with the Global Fund.

34. The OIG accessed a database that summarizes travel patterns of many organizations. The Global Fund was benchmarked against similar organizations characterized as having:

- i. a high percentage of international travel;
- ii. dedicated travel agency environment;
- iii. highly varied travel patterns; and
- iv. limited or no use of online booking tools.

35. A real-time ticket review of the reservation and ticketing process was undertaken in order to independently validate that CWT complied with the Global Fund policy for ticketing and obtained tickets that represented best value.

Recommendations and Prioritization

36. The recommendations have been prioritized. However, the implementation of all recommendations is essential in mitigating identified risks and strengthening the internal control environment in which the programs operate. The prioritization has been done to assist management in deciding on the order in which recommendations should be implemented. The categorization of recommendations is as follows:

- i. *High priority*: Material concern, fundamental control weakness or non-compliance, which if not effectively managed, presents material risk and will be highly detrimental to the organization's interests, significantly erodes internal control, or jeopardizes achievement of aims and objectives. It requires immediate attention by senior management;
- ii. *Significant priority*: There is a control weakness or noncompliance within the system, which presents a significant risk and management attention is

required to remedy the situation within a reasonable period. If this is not managed, it could adversely affect the organization's interests, weaken internal control, or undermine achievement of aims and objectives; and

- iii. *Requires attention:* There is a minor control weakness or noncompliance within systems and proportional remedial action is required within an appropriate timescale. Here the adoption of best practice would improve or enhance systems, procedures and risk management for the organization's benefit.

BACKGROUND

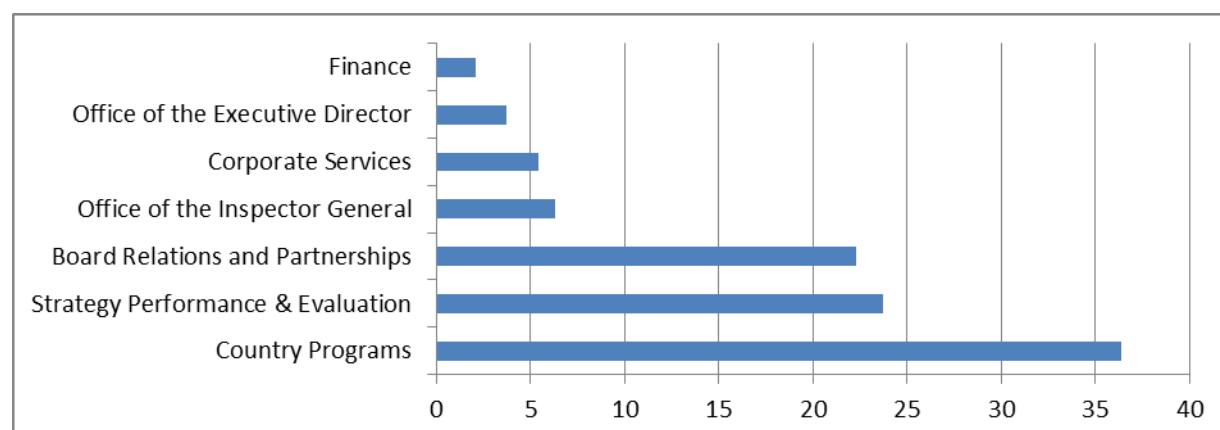
37. The Global Fund depends on travel to facilitate its operations. As a public institution funded by donors, the Global Fund should ensure that travel expenditures are made in a responsible manner and that value for money is ensured for all travel. In accordance with its charter and our Priorities Paper, the Office of the Inspector General (OIG) undertook an audit of travel processes and of travel-related health and security processes.

38. Until January 2009, the Global Fund obtained basic administrative services from the World Health Organization (WHO). These included travel, travel security and health. The Global Fund Board terminated this arrangement on 31 December 2008 when the Global Fund took total responsibility for its own travel, health and security services. There was no transition period and it is commendable that travel related structures, policies and regulations were established rapidly.

39. The travel report for the period 1 January 2009 to 30 June 2010 showed that approximately 66% of all travel is undertaken by the staff with 4% undertaken by Board members and 30% by non-staff. Travel cost is summarized below:

Travel related costs	Budget US\$ 000	Actual US\$ 000	Percentage of Secretariat cost	Percentage of operating cost
2010	19,952	15,109	10	7
2009	21,943	15,128	12	9

40. The breakdown of travel costs by Cluster (as a percentage of total travel) over the 1.5 year period is detailed in the chart below:



41. The Global Fund outsourced its operations of the travel, security and health functions to independent firms namely:

- Carlson Wagonlit (CWT) for travel and visa related services;
- International SOS for travel related security services; and
- Prévention et Maintien de la Santé en Entreprise (PMSE) for vaccinations and medication required for travel destinations.

ANNEX 1: SECRETARIAT ACTION PLAN

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
1. (i) <i>The Global Fund should institute mandatory travel-related training for all travelers. Any changes to the travel policy as well as information that can strengthen compliance should be periodically shared with travelers.</i>	Requires Attention	All	* Welcome Induction presentation is already provided to all staff * GFS training is available online and is mandatory for all travel requisition creators. GFS access is not granted until training has been completed.	1. A mandatory Security training program is currently being developed. 2. Optional training on current Travel Regulations and processes will be provided.	Travel Team / Training / Security Team	1. Travel Policy Review - May 2012 2. Optional training implemented by Q1 2012.	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
1. (ii) The Global Fund should establish effective guidelines for actions to be taken in the case of non-compliance with travel and expense regulations and procedures.	Requires Attention	All	Since separation from WHO in January 2009, it was decided that: - <i>employees must accept the Travel Agent's choice of airline for the most direct and economical route.</i> - <i>Travel Approvers (budget holders or line managers) must ensure that the travel and other personal expenses remain within the limits of the Regulations.</i>	Where possible, instances of non-compliance with the regulations, or when the Travel Agent's choice of airline is not accepted, will be brought to the attention of the Travel Approver (budget holder/line manager) for appropriate action. With a dedicated TMS and a Travel Policy Review, the detection of these instances will be more automated, and guidelines for action will be implemented.	Budget Holders	Travel Policy Review - May 2012 TMS Implementation - June 2012	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
2. In light of the Global Fund regulation that provides for staff to be fairly compensated for the business and travel expenses they incur, the Global Fund should consider reviewing its regulation on per diems with regard to what business expenses are acceptable as reimbursables. The rule governing the CHF exchange rate to be used in converting expenditure incurred in other currencies should be clarified in the regulations.	Significant	Travel Regulation 4.4 Expense Claim Procedure 3.1	Since separation from WHO in January 2009, it was decided that the per diem system is the most appropriate for the Global Fund. Any change to this system would need EMT approval.	The rules regarding exchange rates will be discussed with Finance and an amendment will be added to the current regulation.	Travel Team / Finance	Exchange rate guidance provided by December 2011.	In Progress
3.(i) The criteria for the selection of flights should be revisited in order to make them clearer and more objective.	High	Travel Regulation: * Travel Agent Responsibilities * 4.5. Air Travel	As per the current Travel Regulations, the criteria are clear: <i>air travel is normally by the most direct, fastest, safest and lastly most</i>	In the Travel Policy Review, definitions of the criteria can be added and examples provided, but this will not amend the order of selection currently	Travel Team	31.08.2011	Completed

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
			<i>economical route.</i>	being applied.			
3. (ii) Travel approvers should always be provided with multiple available options to inform the decision making process. CWT should flag cases where the lowest fare has not been taken. Justification for the selection should be provided on the travel request approval form.	High	Travel Regulation, Section 2 - Responsibilities	As per the current Travel Regulation, Travel Approvers are defined as <i>budget holders or line managers with budget responsibility.</i> CWT always provides options, either by email or verbally. The responsibility to inform the Travel Approver of the available options lies with the person creating the travel request in GFS.	CWT will inform the Travel Team of instances where the most economical fare for the most direct route has not been selected. The Travel Team will then contact the budget holder and/or line manager who will decide if action should be taken. An email will be issued to all Travel Approvers informing them of this new	Travel Team	31-Oct-11	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				procedure. With a dedicated TMS and a Travel Policy Review, the detection of these instances will be more automated, and guidelines for action will be implemented. An SBT can be configured to reject requests which are outside of policy, including when the lowest fare is not selected.			
3. (iii) The Global Fund should consider setting thresholds for approval of cases where travelers do not take the cheapest option.	High	Travel Regulation 4.1	There is already a 10% tolerance built into the Purchase Order (i.e.. the final amount invoiced can exceed the PO value by 10%).	No further action required. A TMS would be configured to automatically include this threshold or	Travel Team / Management	31.08.2011	Completed

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
			However, the PO value is not necessarily based on the cheapest option.	tolerance level.			
4. (i) The Global Fund should undertake an analysis of whether the change in policy on class of travel resulted in value for money. The Global Fund should use this analysis as a basis to determine if the class of travel regulation requires amendment. These deliberations should consider the inclusion of the intermediary class between business class and economy in the regulations where available.	High	Travel Regulation 4.5.2 / 4.5.3	The regulation states: "For scheduled journey time of more than nine hours, travel shall be business." This is calculated "from airline scheduled time of departure until airline scheduled time of arrival, including time for connections, if any."	Analysis will be carried out by the Travel Team. A report with recommendations will be issued to Management.	Travel Team	31-Dec-11	In Progress
4.(ii) The Global Fund should consider introducing SBTs for less complicated	High		An SBT is an integral part of a Travel Management System. This	No further action required.	Travel Team	31.08.2011	Completed

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
<i>itineraries as an efficient and economic mechanism for travel booking.</i>			business case for this system is currently being prepared. It is not logical to introduce an SBT until a final decision is made on the TMS issue (see Recommendation 12).				
4. (iii) <i>The Global Fund should consider revisiting its policy on compensatory time off and stopovers in order to ensure that the conditions for staff travel remain medically appropriate and that staff able to undertake their work effectively once at their destinations.</i>	High		Agree with recommendation.	Requires consultation with HR as any change would have implications for the HR policy in addition to the Travel Regulations.	Travel Team / HR / Management	Travel Policy Review - May 2012	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
5. (i) <i>The Global Fund should decide on an approach concerning the ownership and use of frequent flier miles accrued on business travel.</i>	Requires Attention		Frequent flyer miles are accrued to individuals. As the Global Fund already benefits from negotiated airline rates, it is therefore not possible to also accrue corporate frequent flyer miles.	No further action required. Staff should be encouraged to use their personal miles for purchasing or upgrading tickets.	Travel Team	31.08.2011	Completed
5. (ii) <i>The regulation on private deviations should be revisited. These deviations should be permissible only after the business ticket has been issued. The resultant costs from the private deviation should be borne by the traveler. This includes the transaction costs incurred by CWT.</i>	Requires Attention	Travel Regulation 4.5.4	The regulation already clearly states that the employee should pay for any cost above the applicable fare for the business trip. The Global Fund is never liable for any costs resulting from a private deviation. CWT will continue to follow this principle and charge all	No further action required.	Travel Team	31.08.2011	Completed

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
			additional expenses to the traveller.				

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
6. i. The advance booking regulation should be regularized. All travel requests should be approved and tickets issued more than 10 working days prior to departure. All bookings within 10 working days of travel should be treated as exceptions requiring justification and special approval.	High	Travel Regulation 4.5.1	A clear distinction should be noted between <i>travel booking</i> and <i>ticket issue</i> . Travel may be <i>booked</i> several weeks in advance (i.e.. a reservation is made with CWT), but in some cases the travel requisition may only be raised in GFS a few days before departure. As CWT cannot issue a ticket without an approved PO, there are many instances of non-compliance with this regulation. The regulation states that the ticket must be issued 10 days before departure .	<i>For travel to countries with a HIGH or EXTREME security or medical risk:</i> Travel request received in GFS by the <i>Security Clearance Group</i> within 10 days of departure will be rejected, unless accompanied by written justification for late ticket issue. This justification should be provided by the Unit Director (or Cluster Director if the UD is traveling) and should be attached to the GFS requisition by the person creating the requisition. An email will be	Travel Team	31-Oct-11	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
			<i>Look Ahead Reports</i> sent out every week to a focal point in each Cluster already highlight reservations made within 10 days of departure.	issued to all Travel Approvers informing them of this new procedure. A TMS will strengthen policy compliance by automatically detecting travel requests made within 10 days of departure, and sending these requests to the line manager for exceptional approval.			

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
6. ii. <i>There should be restrictions on the number of changes that can be effected to an itinerary unless well justified. Staff should be alerted to the financial implications of the numerous changes effected to itineraries.</i>	High		An itinerary change only incurs a cost when the ticket has been issued, and even when a ticket has been issued, some tickets can be revalidated free of charge. As the CWT contract is not based on a transaction charge, individual itinerary changes cannot be costed. There is, however, an intangible cost in terms of the time spent by CWT dealing with change requests, as this reduces their availability and their level of customer service. For tickets which have been issued	An analysis will be carried out on costs associated with <u>changing a ticket</u> , and a decision will be taken.	Travel Team	31-Oct-11	In Progress

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
			and subsequently changed and re-issued, the cost of these changes can be measured, and an analysis will be undertaken of these costs. These restrictions could be built in to a TMS.				

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
6. iii. Management should take action in response to exceptions relating to booking of travel less than 10 days before travel e.g. by alerting concerned staff of the lost saving in order to strengthen the control environment within which travel happens.	High	Travel Regulation 4.5.1	It is impossible to establish the exact cost or "lost saving" as there is no way of knowing what fare would have been available 10 days before departure. A TMS would strengthen policy compliance by automatically detecting travel requests made within 10 days of departure, and sending these requests to the line manager for exceptional approval.	For travel to countries with a HIGH or EXTREME security or medical risk: Travel requests received in GFS by the Security Clearance Group within 10 days of departure will be rejected, unless accompanied by written justification for late ticket issue. This justification should be provided by the Unit Director (or Cluster Director if the UD is traveling) and should be attached to the GFS requisition by the person creating the requisition.	Management	31-Oct-11	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				An email will be issued to all Travel Approvers informing them of this new procedure. A TMS will strengthen policy compliance by automatically detecting travel requests made within 10 days of departure, and sending these requests to the line manager for exceptional approval.			

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
7. (i) <i>The Global Fund should assess the whether the current model (high level of service, high cost) represents best value bearing in mind the underlying principle that funds should be maximally used to save lives. This can also include reviewing how other available initiatives can be used to reduce the TMC costs (e.g. SBT) and assessing whether an on-site operation is necessary. If the model changes significantly, the services should be retendered.</i>	High	CWT Contract	Agree with recommendation.	RFP for new TMC launched in August 2011 which included these possibilities. SLAs and KPIs were also added to the RFP. The new contract with a TMC will address all of these issues.	Management	1Q 2012	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
7. (ii) <i>The SLA should be reviewed to ensure that it represents best value for the Global Fund. The fees charged to the Secretariat should be renegotiated in light of the findings, revised service functions provided, etc. The fee structure should be reviewed to eliminate variations due to spend volume. The Global Fund should also establish a fixed fee approach rather than a variable expense based on 1% of "traffic".</i>	High	CWT Contract	Agree with recommendation.	RFP for new TMC launched in August 2011 which included these possibilities. SLAs and KPIs were also added to the RFP. The new contract will a TMC will address all of these issues.	Management	1Q 2012	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
7. (iii) The SLAs should include parameters for measurement of performance. The Global Fund should consider implementing an automated call distributor (ACD) system, which would allow for better measurement of agent activity and performance metrics.	High	CWT Contract	Agree with recommendation.	RFP for new TMC launched in August 2011 which included these possibilities. SLAs and KPIs were also added to the RFP. The new contract will a TMC will address all of these issues.	Management	1Q 2012	In Progress
7. (iv) With regard to performance, CWT should: • present proposals to the Global Fund about how it will strengthen the management of the emergency service and visa handling services offered to staff. • develop and present to the Global Fund a defined negotiation strategy for accommodation,	High	CWT Contract	* Emergency services were already strengthened during the most recent threat from volcanic ash in June 2011 - e.g.. extended opening hours and increased staff presence at both the Global Fund implant and the 24 hour emergency	No further action required.	Management / CWT	31.08.2011	Complete - 31.08.2011

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
<i>including the creation of a database on hotel information for negotiations. The database should be based on approved or acceptable hotels for Global Fund travelers. This should include the sourcing of meetings and group travel requirements to reduce costs.</i>			number. We disagree that the visa services need to be strengthened due to the high score achieved in the staff survey carried out as part of the audit. 83.5% of respondents rated the visa services good, very good, or excellent. * CWT is able to do hotel reservations, but it was decided in the past that this would be done by the individual teams. This has helped lower the costs of the CWT service.				

SECURITY

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
8(i) The Global Fund should institute security-related training for all its travelers prior to traveling. This course should be updated periodically and all travelers should be required to undertake a refresher course.	High	Travel Regulation 4.8	3.3.1-3.3.3	Induction training is currently provided in which travel security and health risks are highlighted and advice given on what to do should an incident occur. Tailored security briefings for HIGH and EXTREME risk locations are also provided detailing risks and actions to take in the event of an emergency. Travel security training modules have now been developed which have been uploaded to the Travel and Security	The proposed measures to address this recommendation are twofold - the provision of a standard on-line training package and annual Hostile Environment Training (HET) for staff with responsibility for HIGH and EXTREME	Security Team	Interim training materials on intranet - 29.08.11 Online security training package - March 2012 Hostile Environment Training (HET) - March 2012	In Progress

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				intranet page (completed 29.08.11). This resource is being publicised through Life Online, country-specific security briefings and induction training.	risk countries. In respect of the online training package, the Security Team must be able to view the pass rates and training records. The system will be required to generate an automatic reminder for refresher training. the Global			

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
					Fund will contract the HET training from a security provider, in Geneva or a secondary location, or will seek to have staff joining an existing NGO's training. A quote for HET training has been received and the SSO is exploring further options			

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
					with other providers and with potential training partners. (10.10.11)			

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
8(ii) The security regulations should be strengthened.	High	Travel Regulation 4.8	3.1.1	There is currently a security section within the Travel Regulation. This covers the travel security clearance process and traveller and Security Team responsibilities. It is recognised that the current travel security section within the Global Fund Travel Regulation (4.8) no longer sufficiently addresses the complexity of the Global Fund missions, nor the range of security measures in place to protect travelling the Global Fund staff.	A separate, stand-alone travel security regulation will be developed.	Security Team	May 2012	In Progress

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
8(ii) (ii) The security regulations should be strengthened. For example, they should address (i) approval from senior management for high to extreme or challenging countries; + 8 (iii) Senior management awareness should be raised about employees' security risks in country. A report on incidents that have occurred in country should be provided to senior management on a periodic, e.g., quarterly basis.	High	Travel Regulation 4.8	3.1.1	Nil	To address this recommendation, the senior management of travelling staff need to be made aware of the risk rating for their destination and any special requirements. The measures to address this will be: 1. Manual notification of the senior	Security Team	For manual email notification of senior management - by 28.09.11 For inclusion into new travel management system - June 2012	In Progress

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
					management of the traveller by the Security Team as an interim measure. 2. Automatic notification of the traveller to seek senior management approval with implementation of the new travel management system.			

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
<i>8(ii) The security regulations should be strengthened - (ii) repercussions for staff who do not comply with security regulations.</i>	High	Travel Regulation 4.8	3.1.1	The Global Fund Legal department states that the following wording can be used - "If a staff member fails to comply with any travel security procedure, guideline or instruction, the Global Fund will not be able to guarantee assistance to the travelling staff member and disciplinary action may be taken against him/her."	A section detailing the repercussions for staff who do not comply with travel security measures will be added to the new travel security regulation.	Security Team	As for regulation above - May 2012	In Progress

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
8(ii) The security regulations should be strengthened - (iii) accommodation in high risk countries.	High	Travel Regulation 4.8	3.1.1	The current system in place is that the Security Team are developing a database of security approved hotels/accommodation, for HIGH and EXTREME risk locations and for locations which are considered challenging from a security perspective. This is being developed by accessing ISOS information (where ISOS consultants have reviewed/assessed particular hotels), by submitting a (the Global Fund) safety and security checklist to the hotel for	The new travel security regulation will stipulate what the requirements are for accommodation in HIGH and EXTREME risk locations and will cross reference relevant sections within the Travel Regulation, which relate to accommodation and	Security Team	As for regulation above - May 2012	In Progress

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				completion, by visiting and reviewing the security arrangements at specific hotels, or by accessing UN lists of approved accommodation where these are available. This combined approach is felt to be the most cost effective method of doing this. Where the Security Team have to rely solely on a completed checklist, they attempt to verify the information with other sources. The Security Team always instruct staff visiting HIGH and EXTREME risk	security e.g. policy on late check-out and higher per diem for travellers who are instructed to stay at certain hotels for security reasons, where the cost is higher.			

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				locations to stay in international class hotels with robust security measures in place and will recommend hotels, where they hold information on the database, or will seek to obtain information from ISOS, the UN and other sources.				

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
8(ii) The security regulations should be strengthened - (i) (iv) security as it relates to non-staff traveling on Global Fund business	High	Travel Regulation 4.8	3.1.1	Under the current ISOS contract, non-staff travelling on the Global Fund business are not covered. However, where the Security Team becomes aware of an incident which will, or is likely to affect non-staff delegates at a the Global Fund event, or will affect non-staff consultants, they will endeavour to ensure that the relevant information is passed to those parties who may be affected. Similarly, with any wide-scale evacuation - advised by ISOS -	No further action required.			COMPLETED

Travel and Travel-related Health and Security: Board Version

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				from a particular area, the Global Fund will endeavour to ensure that non-staff are also accounted for.				
8(iii) Senior management awareness should be raised about employees' security risks in country. A report on incidents that have occurred in country should be provided to senior management on a periodic, e.g., quarterly basis.	High	Travel Regulation 4.8	3.1.1	The Security Team currently requests that all travellers involved in a security incident complete an incident report form. The Security Team then make recommendations on the basis of lessons identified from the incident and seek to ensure	From 29 September 2011, the Security Team will provide a quarterly overview of security incidents, complete with actions taken to	Security Team	29-Sep-11	Completed

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				that the learning influences training and/or future mission support. To date, senior management have been provided with incident reports where requested, or when deemed of sufficient gravity and/or relevance for the Global Fund.	remedy and lessons identified. For reasons of confidentiality, these reports will not contain staff details. This summary will be sent to senior management.			

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
8(iv) Staff should not be allowed to travel without the necessary security clearance. In the event that they do, staff should be alerted that they are personally responsible if anything should happen to them while on duty travel. Travel to high or extreme risk countries should be approved only after the staff member has received the requisite security clearance.	High	Travel Regulation 4.8		Within the GFS system, staff cannot obtain travel tickets from CWT without first having been granted approval for travel from the Security Team. The exception to this would be where, for an unforeseen reason, staff have to purchase travel tickets independently, not via CWT.	In the new travel security regulation discussed at recommendation 8(ii) above, it will be stated that staff will not receive repayment of expenses for travel which has been booked outside the CWT system, unless approval has first been granted	Security Team	As for regulation above - May 2012	In Progress

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
					from the Security Team. The traveller will then need to submit proof of the approval from the Security Team along with their expense claim. In respect of the liability aspect, if security clearance is not provided, the position on this would be as per			

Travel and Travel-related Health and Security: Board Version

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					the response from the Legal Department for recommendation 8(ii) above.			
8(v) Specific guidelines should be developed on how crises should be handled. The action plans identified after the volcanic ash crisis should be implemented as a matter of urgency.	High	Travel Regulation 4.8	3.5.1-3.5.2	The Travel Security Review (TSR) paper proposed a structure for a core Crisis Management Team. The proposals of the TSR have been accepted. The Travel Security Review paper	Identify suitable dates for plan development and associated training. Ensure plan development and	Admin Manager/ Security Team	Completion by end January 2012	In Progress

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				proposes that an independent consultancy be tasked to develop a crisis management plan for the Global Fund and provide relevant training for members of the Crisis Management Team and support staff.	delivery of associated training.			

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
9(i) <i>The security function should be incorporated into the Global Fund structure. This will ensure that this important function is given the necessary authority required to fulfill allocated responsibilities. The security function should be given a budget to facilitate its work. This will also demonstrate the organization's commitment to protect the safety, health and welfare of employees.</i>	Significant		3.2.1.1	The decision has been taken to maintain security as a divested function, with the Field Security Officer and Senior Security Officer as external consultants. Since 2009, with the split from WHO, there has been a budget for security services allocated within the Administration budget.	No further action required.			Completed

Travel and Travel-related Health and Security: Board Version

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9(ii) The security SLA should include parameters for measurement of performance. The ISOS SLA should be re-evaluated to close the security gaps currently identified, especially those relating to in-country travel. The performance of the security firm should be assessed periodically and actions taken to address gaps in the services provided to the Global Fund.	Significant	Control Risks Contract		Currently where an incident occurs which involves a the Global Fund traveller and where ISOS has been contacted, a member of the Security Team will debrief the traveller about their experience of using the ISOS service and feedback to ISOS. The security component of travel training for induction has now been separated and there is a stand-alone section for security on the evaluation forms. In this way the quality of the training provided	The following KPIs will be established : 1. Staff survey for ISOS/CR security services provided and attainment of target percentages for set criteria. 2. Analysis of pass rate records for online training and establishment of target pass rate	Admin Manager/ Security Team	Staff survey for ISOS/CR security services undertaken by June 2012 and annually thereafter. Admin Manager to develop further KPIs with Adam Samuels (CR) December 2011 . Analysis of pass rate for online training to commence post March 2012 . 1st quarterly activity report due	In Progress

Travel and Travel-related Health and Security: Board Version

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				by the CR/ISOS consultant can be evaluated. ISOS have been requested to provide standard data for all future incidents involving the Global Fund travellers where ISOS are involved (14.09.11). This event data will be filed along with incident reports completed by the traveller, so that the Security Team will be able to monitor ISOS responsiveness. Quarterly activity reports have been requested from ISOS 12.08.11.	percentage . 3. Analysis of ISOS quarterly activity reports and feedback to ISOS		from ISOS by December 2011	

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
9(iii) The Global Fund should continue to work with the Board to identify mechanisms to mitigate the security risk related to travel.	Significant			One of the measures to raise Board awareness of security risks posed to the Global Fund travelling staff is to revise Risk 8, on the Corporate Risk Register - Staff Security. This can be updated to reflect current security risks and mitigation controls. The current register was last revised November 2009.	Security Team to develop a revised draft of risk number 8 for the Corporate risk Register by 15.09.11.	Security Team	13.10.11	In Progress

Travel and Travel-related Health and Security: Board Version

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9(iv) The Global Fund should work with the security firm to: increase their profiling as the security provider for the organization in order to ensure that staff are fully aware of their role and the services available through the firm.	Significant	Control Risks Contract		When any communication is made with travellers going to HIGH, EXTREME or challenging security risk locations, the Security Team reminds travellers of the ISOS service and the procedure to follow in order to receive ISOS assistance. The Travel Security and Medical page on the intranet contains direct web links to the ISOS and CR information services available to the Global Fund staff. The Security Team have submitted a short	The Security Team will prepare and deliver security and health awareness presentations, including details of the ISOS and PMSE services, for Cluster meetings and country programme training sessions, in addition to raising the profile of the service providers	SSO/FSO	Complete by end December 2011	In Progress

Travel and Travel-related Health and Security: Board Version

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				article to Life Online (14.09.11) publicising the services offered by the Security Team and will seek to do this on a regular basis where possible.	through the intranet and on-line Global Fund journal.			
9(iv) <i>The Global Fund should work with the security firm to: provide a face-to-face briefing for high to extreme risk countries.</i>	Significant	Control Risks Contract	3.1.1	All travellers going to HIGH and EXTREME risk locations are offered a country specific briefing in person, as standard.			24.08.2011	Completed

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
9(iv) The Global Fund should work with the security firm to: ensure appropriate information is provided to travelers and identify ways in which to maintain contact with staff in country.	Significant	Control Risks Contract		All travellers to HIGH and EXTREME risk locations are requested to nominate a contact at the Geneva HQ, with whom they will make daily contact. This information is recorded in the travel security clearance form.	The following measures will be put in place to ensure communications connectivity and monitoring for Global Fund travellers to High and Extreme risk locations: 1. Lone travellers will be offered access to a satellite tracking service. This will	Security Team	Lone traveller satellite tracking - trial by October 2011 and if satisfactory in place by November 2011. Satellite phone trial - October 2011.	Not Started

Travel and Travel-related Health and Security: Board Version

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					provide travellers with peace of mind and the Global Fund with accurate information on their whereabouts at any point in time. The Legal Department has indicated (18.09.11) that there should not be any privacy issues with use of tracking, where the			

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
					system is an opt-in service, written consent is obtained and the provider agrees to hold information on users consistent with data protection laws. 2. Communications resilience will be strengthened by the purchase of 3 satellite phones from the			

Travel and Travel-related Health and Security: Board Version

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					2011 budget, which will be offered to travellers going to HIGH and EXTREME risk locations, with poor communications connectivity.			
9(iv) <i>The Global Fund should work with the security firm to: maintain a proper filing system for security</i>	Significant	Control Risks Contract		This has been in place since April 2011. All completed travel security clearance forms and related	No further action required.			Completed

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
<i>clearance forms.</i>				documentation are saved on the restricted access Security, SharePoint site.				
Outstanding Travel Security Review Recommendations								
<i>3.2.2.1 - Security measures should be coordinated in country by a preferred security/logistics provider</i>				This is currently being undertaken as and when necessary, according to the advice of CR/ISOS and partners such as UNDSS. The Security Team endeavours to ensure that all local providers are vetted/approved, or have been recommended by a partner organisation. The	No further action required.	Security Team	Complete 07.11	Completed

Travel and Travel-related Health and Security: Board Version

Relevant Audit Recommendation	Priority: - High - Significant - Requires attention	Relevant Reference within Travel Regulations	Travel Security Review Recommendations Addressed	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				Security Team is in the process of building a database of approved providers. This will be an on-going project.				
3.4.1 - Field security support, including risk assessment, survey and on-the-ground assistance should be provided for Board meetings and other key GF events.				This is currently being undertaken as and where necessary, according to the risk rating for the location, the existing security measures in place, the complexity of the task and on request.	No further action required.	Security Team	Complete 07.11	Completed

HEALTH

Relevant Audit Recommendation	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
10. (i) A process for undertaking annual checks and issuing 'fitness to travel' clearances should be instituted. The regulations should be amended to state clearly that if staff travel without this clearance, they assume personal responsibility should a medical emergency occur during travel. A database to record and track the vaccination/annual travel clearance should be developed. An automatic notification for renewal visits should be sent to employees.	The current system in place is that travellers are advised to obtain 'fitness to travel clearance' from PMSE, along with an annual health check. PMSE holds details for approximately 130 the Global Fund staff, who contact PMSE for 'fitness to travel' clearance and who have annual medicals. PMSE pro-actively notifies these personnel when their annual health check is due. PMSE are provided with a report detailing future travel by the Global Fund staff. The problem is that these 130 personnel do not account for all the Global Fund travelling staff and there is no system currently in place to follow up with staff who do not obtain 'fitness to travel' clearance or regulation to detail what the sanction is if such staff do not obtain the fitness to travel clearance and annual health	PMSE will be provided with ISOS health risk ratings for all countries and proactively request travellers going to HIGH/EXTREME health risk locations to contact them for 'fitness to travel clearance'. PMSE to be provided with the full list of the Global Fund travelling staff to enable them to contact the staff who are not currently registered with PMSE and who have not undergone an annual PMSE medical. The Travel Regulation to be amended making it mandatory for all Global Fund travelling staff to receive 'fitness to travel' clearance and to undergo an annual medical. Ensure that an automatic email/notification to staff to contact PMSE for certain health risk locations is a function of the new travel management system.	PMSE/ Travel Team	ISOS health risk ratings to be provided to PMSE by Travel Unit by end October 2011 . List of the Global Fund travellers to be provided to PMSE by end September 2011 . Travel Regulation to be revised May 2012 . New travel management system in place by June 2012	In Progress

Relevant Audit Recommendation	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
	check.				

Relevant Audit Recommendation	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
10. (ii) A mechanism should be put in place that notifies travelers of the vaccination requirements immediately they book a flight. This can be similar to the alert regarding visa requirements.	When travellers book their trips with CWT, an automatic email is dispatched by ISOS notifying them of the vaccination and general medical requirements of their destination.	No further action required.		Since 2009	Complete
10. (iii) The Global Fund should work with PMSE to ensure staff are aware of the services offered. Consideration should be given to aligning the health aspects related to travel falling under the mandate of the travel unit. This will ensure that this important function receives the relevant attention that it requires.	PMSE have in the past attended the Employee Fair day and the Global Fund Family Day and details of the PMSE service are referenced on the Global Fund Travellers' Security and Medical page on the intranet.	The Senior Security Officer (SSO) will act as the point of contact for PMSE within the Global Fund, in respect of staff travel. The SSO will work with PMSE to raise the profile of PMSE on the Global Fund intranet, through induction training, country programme training sessions, Life Online and other media as appropriate.	Security Team/ PMSE	SSO as point of contact for PMSE by 05 October 2011. For inclusion of PMSE material in induction training by 05 October 2011 and delivery of PMSE information in joint health and security presentations	In Progress

Relevant Audit Recommendation	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
				for country programmes training sessions - completed by end December 2011.	
10. (iv) The Global Fund should consider aligning the travel related health services to the work undertaken by the Security firm and the travel agent. This will ensure that all service providers have comprehensive information for decision making.	There is currently no formalised structure in place to ensure close cooperation between PMSE, the Travel Unit and the Security Team.	Action: SSO will act as point of contact for PMSE within the Global Fund (for travel related issues) and PMSE will be invited to attend the bi-weekly the Global Fund travel, security and health meeting.	Security Team / PMSE	26.09.11	Complete

OVERSIGHT

Relevant Audit Recommendation	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
11. (i) A travel strategy should be developed for the Global Fund that aligns travel management to the overall organizational goals. Travel related KPIs should be developed and performance measured against these KPIs.		KPIs have been included in the RFP for a new Travel Management Company (TMC).	Management	2012	Not Started
11. (ii) The Global Fund should develop a travel risk management strategy that identifies risks to the travelers and the organization, assesses risk exposure and impact, and puts in place mitigating factors to address key risks.	The correct place to do this would be within the Corporate Risk Register. There is currently a relevant entry - Risk 8, Staff Security. This should be updated and amended to reflect current travel security risks and mitigation measures.	A revised draft of risk number 8 will be developed.	Management / Security Team	2012	In Progress

Relevant Audit Recommendation	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
11. (iii) <i>The role of the travel unit should be better defined. The profile of the travel unit should be raised from an operational level to guiding strategy and providing oversight to the travel function and to service providers. Consideration should be given to incorporating the health and security aspects as they relate to travel under the responsibilities of the travel unit. The job descriptions of the unit staff should be amended accordingly.</i>	The expertise of the travel team could be better utilised to ensure that best value for money is achieved.	At the time of separation from the WHO, it was decided that the Travel Team should only have an operational support function, and not an oversight function. Any change to this would require EMT approval. PMSE will be invited to attend the bi-weekly travel, security and health meetings.	Management	2012	Completed

Relevant Audit Recommendation	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
12. (i) <i>The Global Fund should consider developing a proper travel management system to enhance the travel management, including exception reporting. A travel management system would eliminate the current GFS limitations. In the meantime, the travel unit should ensure that regular reconciliations are undertaken of transactions and payments in the CWT system and the different modules relating to travel in GFS.</i>	Agree with recommendation. The implementation of a TMS would address many of the recommendations made in the audit report.	RFP to be launched in 4Q 2011.	Management	2012	In Progress
12. (ii) <i>Management should take action in response to exceptions noted in order to strengthen the control environment within which travel happens.</i>	As a travel policy can be built in to the TMS, many exceptions would be automatically detected and perhaps even inhibited.	This recommendation requires clarification as the issue has not been clearly identified.	Management	2012	N/A

Relevant Audit Recommendation	Comments	Response and Action	Responsible Official	Completion Date	RAG Status Red - not started Amber - in progress (not complete) Green - work complete, no further action
12. (iii) <i>The Global Fund should develop a strategy and plan to deal with any crisis relating to travel. This should include an emergency response procedure and communication plan.</i>	The Travel Security Review (TSR) paper proposed a structure for a core Crisis Management Team. The proposals of the TSR have been accepted. The Travel Security Review paper proposes that an independent consultancy be tasked to develop a crisis management plan for the Global Fund and provide relevant training for members of the Crisis Management Team and support staff.	Identify suitable dates for plan development and associated training. Ensure plan development and delivery of associated training.	Management / Security Team	2012	In Progress