

# Mayo Clinic – Single Audit Corrective Action Plan

---

## Finding 2019-001

### Condition:

The Mayo Clinic's (the Clinic) internal control over Information System (IS) Programmers internal service charges does not require that the initial request for services always be completed or approved by the Principal Investigator (PI) or appropriate individual with authority on the grant. In addition, the specific grant activity number to be charged is not always documented during the intake process when the initial request for services is made.

### Recommendation:

The Clinic should update its policies and procedures to include an internal control over the approval of IS Programmer service charges.

### Corrective Action Planned:

Information Technology (IT) will update its intake process to require the Principal Investigator, or authorized lab personnel, to fill out the online request form for service. Only the Principal Investigator, or authorized lab personnel, will be permitted to fill out the request form. The form currently requires that a Posting Accounting Unit (PAU) and associated activity number be provided at the time of input. That will not change. However, IT will now verify with the Principal Investigator, or authorized lab personnel, that the PAU and activity number used in the request form is authentic and correct for the lab and grant that the work is to be performed for.

An email response from the Principal Investigator, or authorized lab personnel, will be required in order for the work to be assigned to an Information System (IS) programmer. This email response will be archived with the initial request form in the IT project folder archive documenting the confirmation of the request for work. No work will be provided by the IS programming group until such requests and confirmations have taken place.

## Corrective Action Plan:

1. Meet with development teams and formulate the additional measures needed to create a barrier for the finding being repeated.

Planned completion date: 06/30/2020

Status: Complete

2. Require an email response from the Principal Investigator, or authorized lab personnel, confirming the PAU/Activity to be charged prior to beginning work.

Planned completion date: 7/31/2020

Status: Complete

3. Supplemental to the existing electronic intake process utilizing the institutional instance of ServiceNow, IT will require a PAU/Activity number be assigned by a duly authorized requester approved to represent the researcher and their lab for all requested work. This enhancement to the electronic intake form is currently in development. Work attributed to sponsored projects and activities will only be accepted by aforementioned authorized staff. Documentation pertaining to work requested will be electronically retained for a period of twenty four months.

Planned completion date: 08/15/2020

Status: In Process

4. Communicate process changes to all impacted parties.

Planned completion date: 09/15/2020

Status: Not Started

5. Determine whether policy/procedure need to be updated or established.

Planned completion date: 10/01/2020

Status: Not Started