

LEGISLATIVE AUDIT DIVISION

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Montana Enhanced Registration and Licensing Information Network (MERLIN) Compliance (21DP-01)

Department of Justice

Audit Objectives: *(what the audit intends to accomplish, or questions auditors will answer)*

- Determine if DOJ evaluates, directs, and monitors IT governance, benefit delivery, risk and stakeholder transparency.
- Determine if DOJ aligns, plans and organizes MERLIN and IT operations to ensure MERLIN delivers value, to optimize human resources, and to manager security and risk.

Audit Scope: *(the boundary of the audit & subject matter auditors will assess)*

- Assess DOJ general controls as they apply to MERLIN, with COBIT as our guide for best practices:
 - Governance model that includes input from and communication to stakeholders which creates alignment of MVD and IT goals and transparent oversight
 - IT management framework that supports agency goals, MVD business processes, and regulatory compliance
 - Human resources capabilities including identification of key IT and security roles supporting MERLIN, and management of vacancies/staff turnover which could contribute to gaps in internal knowledge transfer
 - Risk management practices that include defining agency risk appetite, analyzing IT and security risk events, and goals-aligned risk response which could ensure a balanced and optimized approach to MERLIN risk management
 - Security management practices designed with recognition of the need for a comprehensive and systematic program to protect sensitive Montana citizen data contained in MERLIN
- Any metrics gathered during this review will be from when MERLIN was moved to maintenance status in January 2021 to current. Documents gathered will be most recent versions, however, previous versions will also be reviewed if needed to understand decision making and impacts of the new administration