

# The Montana Enhanced Registration and Licensing Information Network (MERLIN)



**Miki Cestnik**

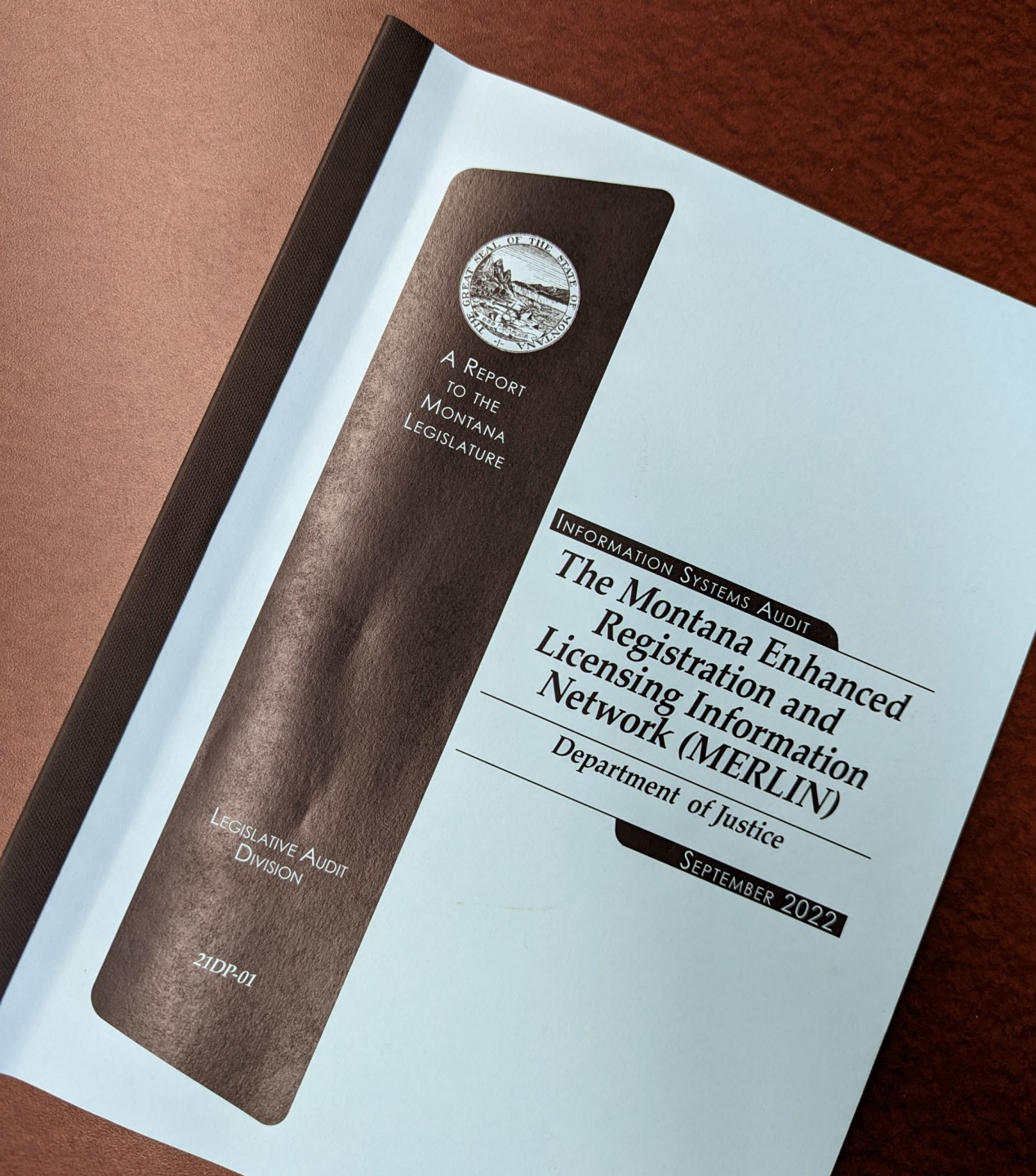
Information Systems Audit Manager

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01. What is inside blue cover?

02. Oh, I get it, what did you do again?

03. Areas of fieldwork, findings, recommendations



# What's Different in the Report



## What We Found

Design, evaluate, and update the IT governance structure

**DOJ has not articulated IT governance within the agency.**

Green	Well-defined processes are organized and measured for performance
Yellow	Basic activities are performed, defined, organized, and managed
Orange	Some activity occurs, yet not organized or defined
Red	Incomplete or incapable process

## DIRECT

Short, Clear Statements

## LAYOUT

Mirror Audit Process

## COLOR

Quickly Identify

# Audit Summary

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RISK

AUDIT

OPPORTUNITY

**Early 2021**

## **Significant Changes**

- Final MERLIN module
- Legislation/MITA
- Leadership
- Staffing levels

**Fall 2021**

## **Audit Begins**

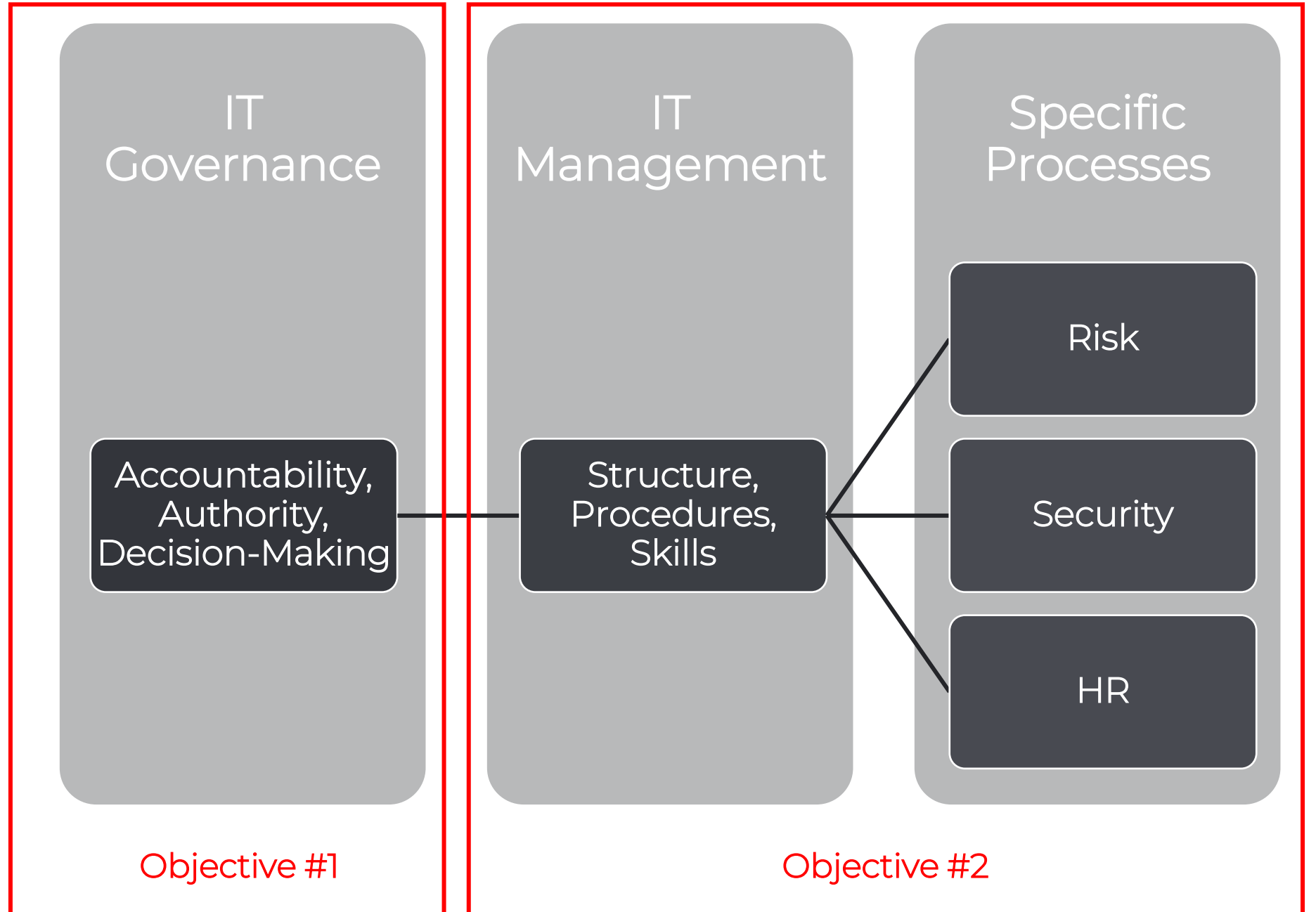
- Review controls
- 5 Recommendations

**Summer 2022**

## **System Replacement**

- Improve IT success
- Increase adoption of the new system
- Maintain MERLIN

# Scope & Objectives



# Areas of Fieldwork

Montana

# IT Governance



## Authority

Legislature – laws & appropriations

DOA – standards & purchases

Agencies – how-to & direction



## Accountability

Executive agencies are accountable to DOA and the Legislature



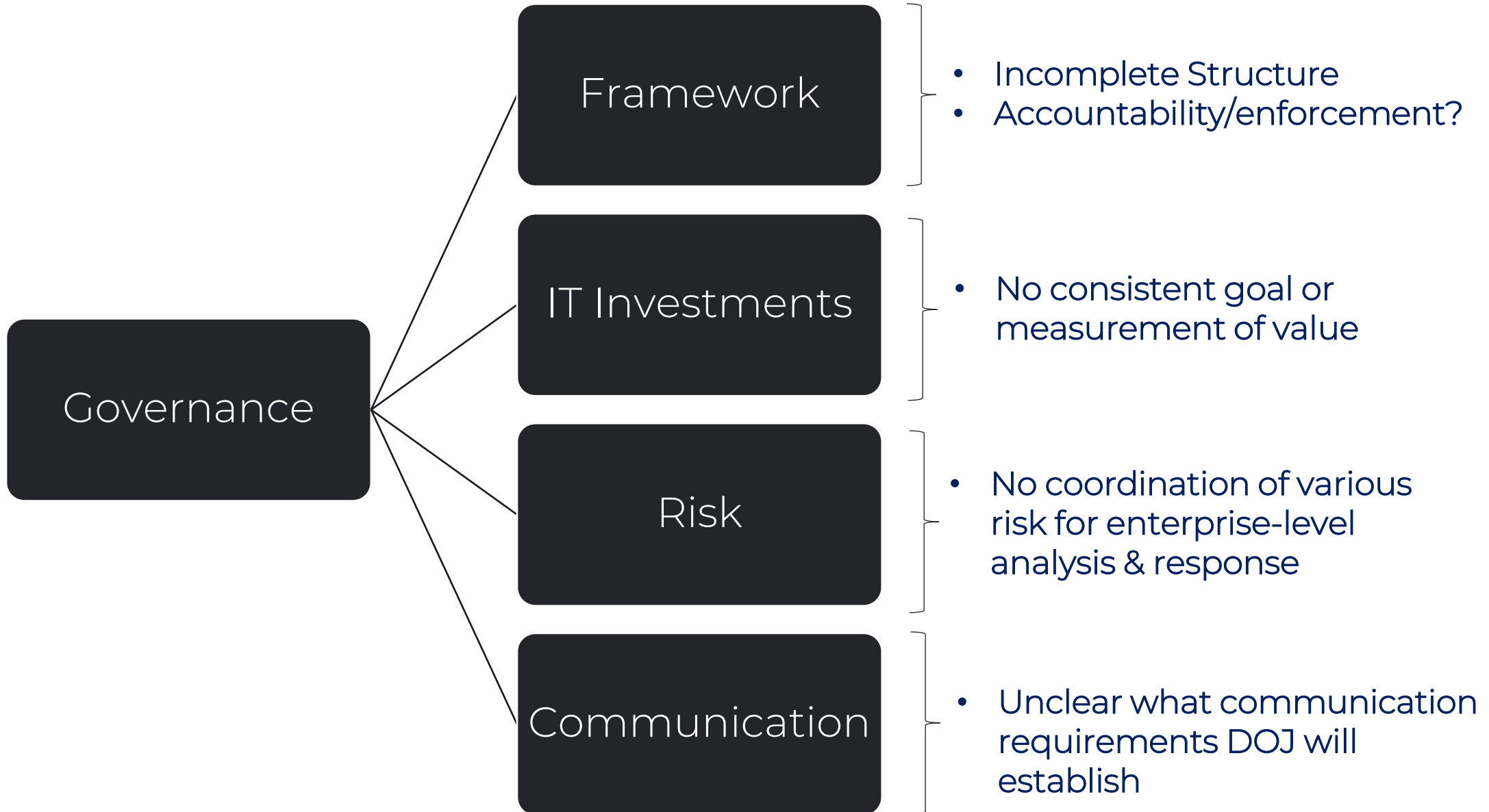
## Decision-Making

Legislature – funding

DOA – approvals

Agencies – how-to & direction

# DOJ IT Governance



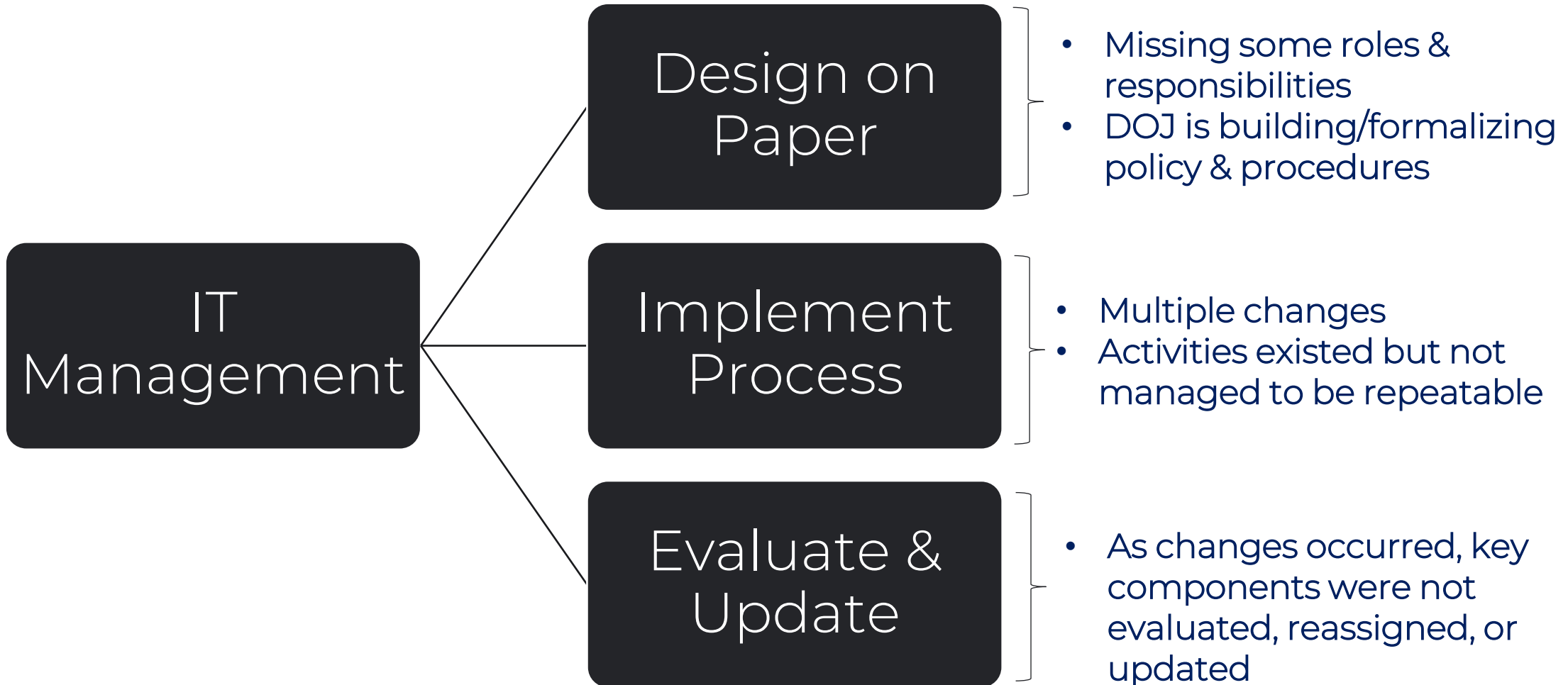


# Recommendation 1

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Develop the IT governance framework including communicating IT budgets and IT investments, IT strategic planning, and mechanisms to ensure internal control.

# IT Management

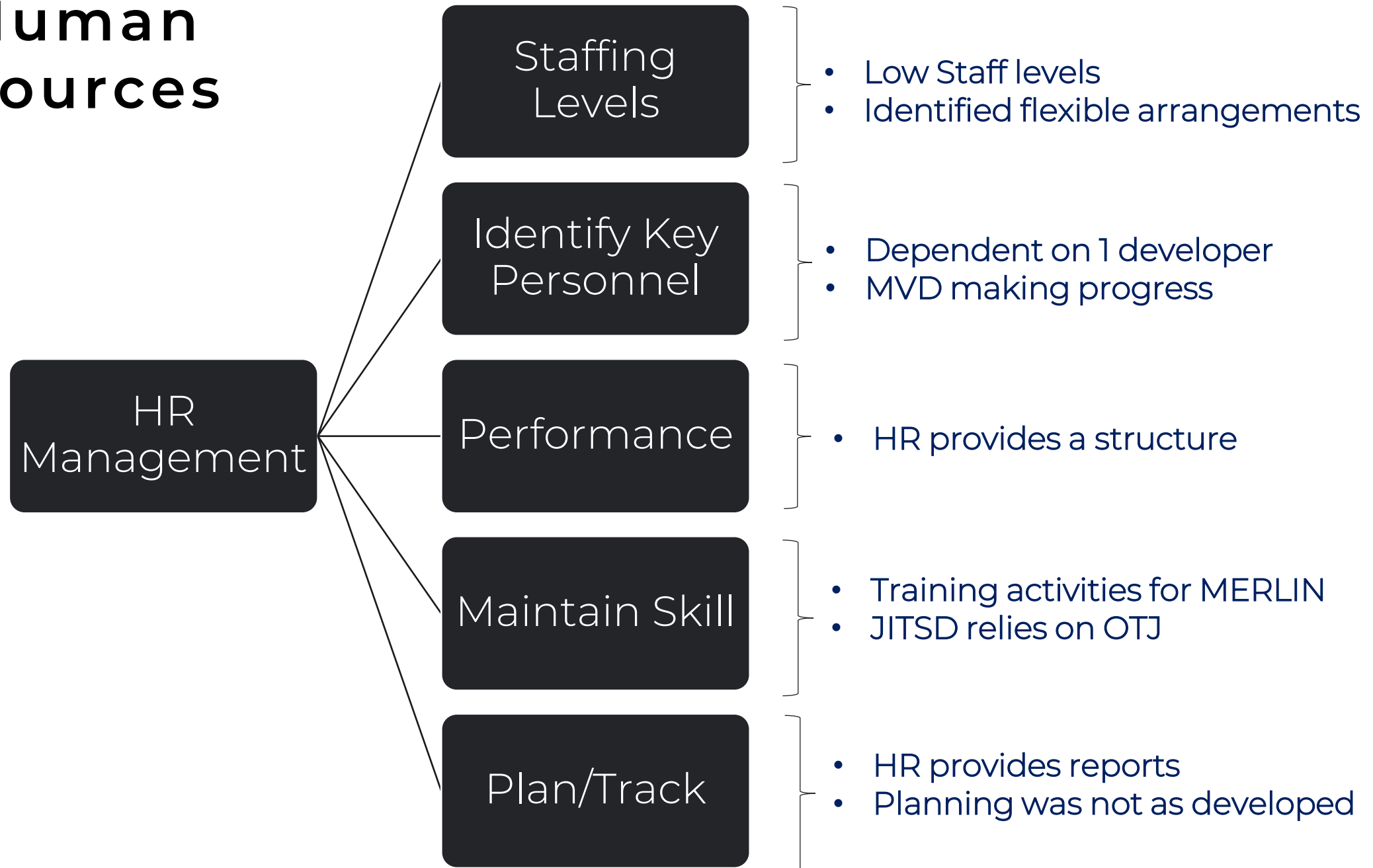


# Recommendation 2

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Improve the management framework with more guidance, formalize the components, and define how communication is expected to occur.

# IT Human Resources

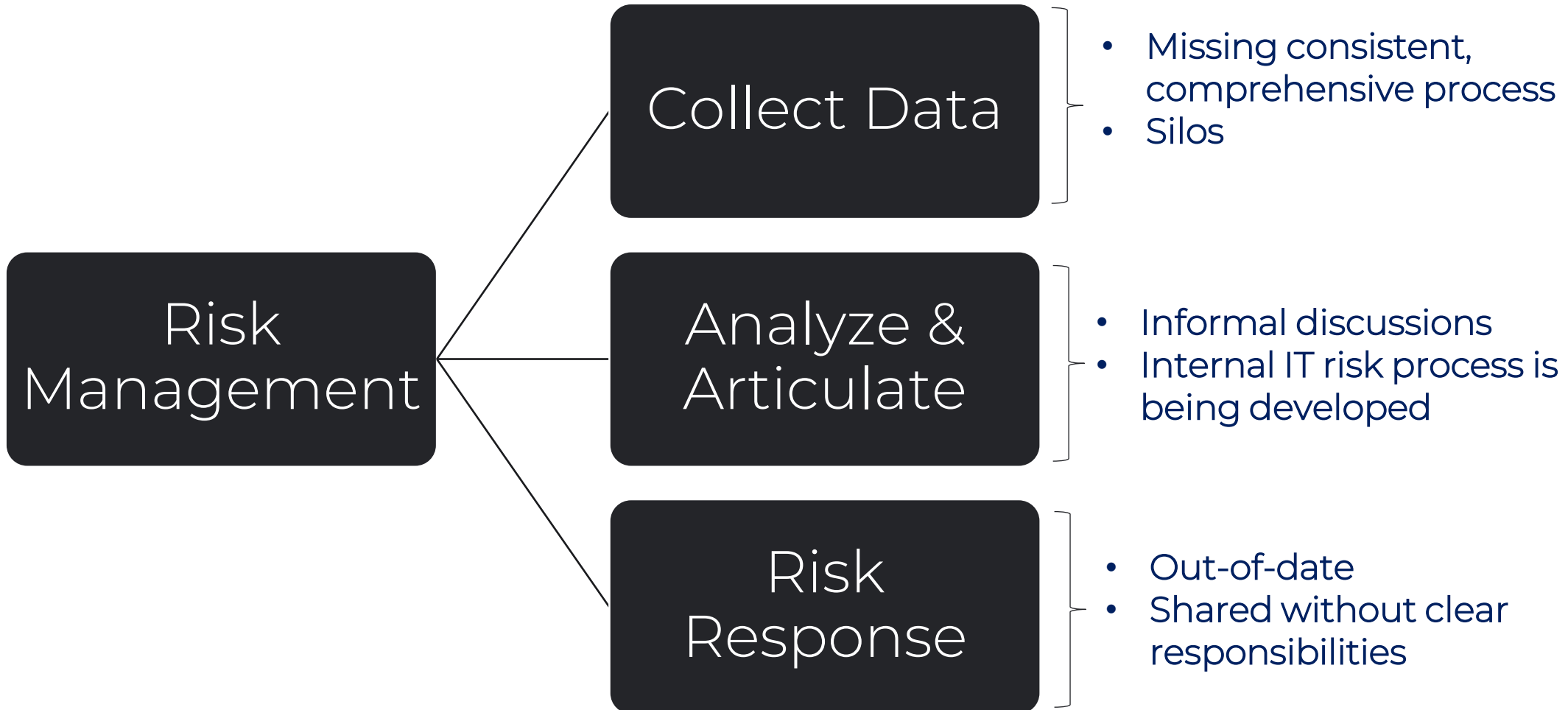


# Recommendation 3

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Build the structure of knowledge capture and transfer based on the analysis and planning for human resource risks.

# Risk Management

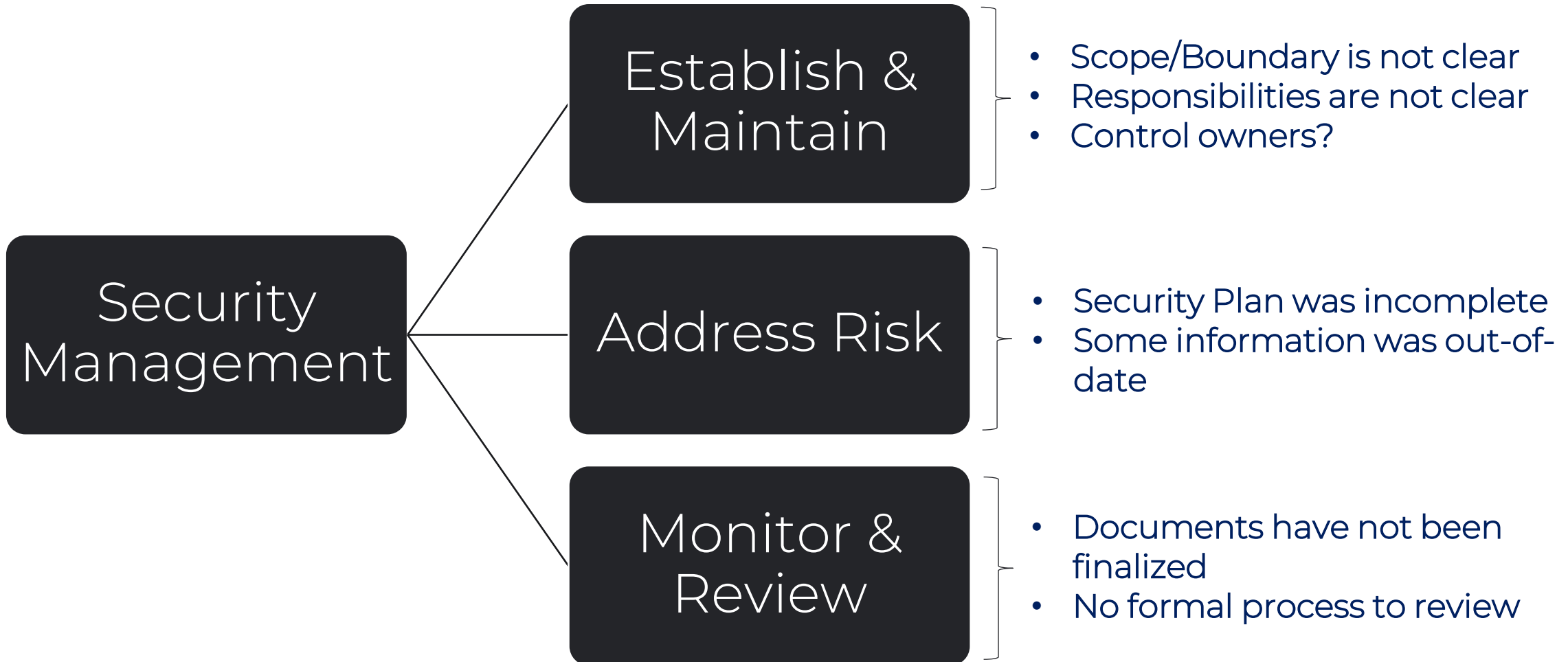


# Recommendation 4

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Adopt a risk management framework that guides the risk management process in coordination with overall governance. Also establish the components of risk management including assigned responsibilities.

# Security Management





# Recommendation 5

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Update the information security policy and clarify the ownership of controls and responsibilities related to security, coordinate with risk management, and formalize the process that enforces and reviews minimum state security standards.

**Thank You**

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**RISK**

**OPPORTUNITY**

**AUDIT**

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