

<u>Section</u>	<u>Function</u>	<u>Report</u>	<u>Agency</u>	<u>Recommendation #</u>	<u>Recommendation Text</u>	<u>Explanation</u>	<u>Program</u>	<u>LAD Contact</u>
Section D	Financial	20-26	Public Service Regulation	1	We recommend the leadership of the Department of the Public Service Regulation: A. Comply with all internal policies. B. Develop and implement a comprehensive plan to improve department culture.	Expenditures may not be supported, so there is a potential impact to the budget.		Jessica Curtis
Section D	Financial	20-26	Public Service Regulation	2	We recommend the Department of Public Service Regulation develop, implement, and monitor internal controls to facilitate compliance with and comply with state policies by ensuring: A. Travel and Procard expenses are supported by accurate and sufficient documentation. B. Inventory is completed, state property is tagged when required, and the Surplus Property Program is used to dispose of state property. C. Procurement is in compliance with state law and policy, including the agreement with the Department of Administration. D. Uncollectable receivables are transferred to the Department of Revenue or outside collection agency.	Expenditures may not be supported, so there is a potential impact to the budget.		Jessica Curtis
Section D	Financial	20-26	Public Service Regulation	4	We recommend the Department of Public Service Regulation: A. Develop internal controls to ensure the accuracy and completeness of financial activity in the state's accounting records, and B. Comply with state accounting policy by recording all department financial activity in the state's accounting records.	Expenditures spent without budget may not have been recorded in SABHRS.		Jessica Curtis
Section D	Financial	20-18	Department of Justice	1	We recommend the Department of Justice comply with state law by increasing revenue and/or decreasing expense as necessary to maintain fees commensurate with costs in its Agency Legal Services Fund.		Agency Legal Services	Karen Simpson
Section D	Information Systems	21DP-01	Department of Justice	1	We recommend the Department of Justice develop and implement an internal IT governance framework and seek legislation, where necessary, to specify how the department will integrate with other state IT governance practices including: A. Review and approve major IT budget decisions and plans. B. Monitor IT investments, approve IT strategy and reporting, ensure IT aligns with agency strategy, and ensure a structure of internal control exists.	DOJ is no longer accountable to DOA, with limited accountability to the Legislature. Implementing a governance framework will prevent poor investments, including ongoing costs associated with MERLIN and future costs related to CARS.	Multiple	Miki Cestnik
Section D	Information Systems	21DP-01	Department of Justice	2	We recommend the Department of Justice improve the IT management system by: A. Selecting industry standards that guide what management processes and components should be in place and how to evaluate them for effectiveness and efficiency. B. Document the components of the management framework, including policies, procedures, communications, organizational structures, roles, responsibilities, and other necessary components to achieve the goals of the agency and IT. C. Define the communication structure of the management processes and roles and how they will interact with IT governance.	Improved IT management will likely create additional efficiencies.	Multiple	Miki Cestnik
Section D	Information Systems	21DP-01	Department of Justice	3	We recommend that the Department of Justice: A. Develop the structure of knowledge capture and transfer that reduces reliance on a single individual to manage critical processes. B. Formalize the analysis and plan to mitigate the immediate human resource risks of maintaining MERLIN through the transition to the new system.	It is likely that there are potential process efficiencies to be realized if DOJ addresses concerns related to MERLIN staffing.	Motor Vehicles	Miki Cestnik
Section D	Information Systems	21DP-01	Department of Justice	4	We recommend the Department of Justice: A. Adopt a risk management framework to guide the development of enterprise risk management, B. Develop the IT risk management process in line with DOJ risk appetite and within risk tolerance levels, C. Establish risk metrics to inform decision making, and D. Identify and assign risk management procedures for necessary individuals through policy or position descriptions.	Currently, DOJ has limited ability to identify cost savings or opportunity costs. A lack of a risk management framework impacts their ability to review risks to improve operations or avoid potential challenges.	Multiple	Miki Cestnik

Section D	Information Systems	21DP-01	Department of Justice	5	We recommend the Department of Justice improve security management by: A. Updating the information security policy with scope and security management responsibilities, B. Clearly defining the responsibilities and ownership of controls within DOJ and those shared with SITSD, C. Ensuring the security program is integrated into the risk management process, and D. Formalize the process that enforces minimum state security standards for applications/systems/activities before they are authorized to operate on or access the state network.	Without managed security, there is the potential for significant costs, if a data breach occurs.	Multiple	Miki Cestnik
Section D	Performance	20P-05	Department of Corrections	1	We recommend the Department of Corrections identify means to simplify the assessment and reassessment process without decreasing effectiveness at predicting recidivism risk.	Simplifying the risk assessment process could help ensure officers in the field conduct timely assessments and meet risk assessment requirements in policy, potentially reducing recidivism.	Probation and Parole	Alyssa Sorenson
Section D	Performance	20P-05	Department of Corrections	2	We recommend the Department of Corrections: A. Decrease caseloads for nonspecialized officers below 70 offenders, B. Identify and implement options to decrease the administrative requirements for supervision of low-risk, nonviolent, and nonsexual offenders, and C. Decrease the amount of paper processes and signatures required outside of the OMIS.	Reducing the administrative burden of paperwork and supervision of lower-risk offenders could lead to great processes efficiencies.	Probation and Parole	Alyssa Sorenson
Section D	Performance	20P-05	Department of Corrections	3	We recommend the Department of Corrections develop a method in its caseload health dashboard to easily identify offenders who have exceeded average days expected by risk level since last offender and collateral contact.	More easily identifying offenders could lead to great processes efficiencies.	Probation and Parole	Alyssa Sorenson
Section D	Performance	20P-05	Department of Corrections	4	We recommend the Department of Corrections strengthen the inclusion of offender risk assessment results in officer case management strategies by: A. Revising current case plan, policy, and procedures, B. Establishing quality assurance methods to monitor officer performance, C. Providing annual refresher training to officers, and D. Evaluating and validating risk assessments for Montana's offender population and communicate results to stakeholders.	With risk assessments incorporated into case management, officers will be more more efficient in supervising offenders.	Probation and Parole	Alyssa Sorenson
Section D	Performance	20P-05	Department of Corrections	5	We recommend the Department of Corrections develop processes for ongoing maintenance and evaluation of the MIIG, including making necessary revisions and targeting training efforts.	Without ongoing evaluation of the MIIG, there is limited evidence related to the use of incentives and interventions, including the financial impacts of reoffending.	Probation and Parole	Alyssa Sorenson
Section D	Performance	20P-05	Department of Corrections	6	We recommend the Department of Corrections: A. Review and update OMIS to ensure community supervision data collection needs are met, B. Establish a process for strategically prioritizing OMIS change requests, C. Develop a plan to improve ease and consistency of data entry by embedding user workflows, decreasing duplicative entry, and increasing front-end data validation, and D. Evaluate and plan for long-term offender management information system needs for the department.	Due to a lack of data integrity, there are concerns regarding if OMIS meets user needs, including that of decision makers such as the Legislaure who appropriate department resources.	Probation and Parole	Alyssa Sorenson
Section D	Performance	22P-03	Department of Corrections	1	We recommend the Department of Corrections revise and implement department policy related to the Inmate Welfare Fund to: A. Add clarity on what items and activities qualify as appropriate expenses. B. Remove items for indigent inmates from allowable IWF expenses. C. Reflect current practice and expectations regarding the processing of requests for funds.	With additional clarity for the IWF, there are some costs more appropriately covered by the state for indigent inmates.	Secure Facilities	Amber Robbins