



Executive summary of the public audit report

MANAGEMENT OF STATE INFORMATION RESOURCES AT THE MINISTRY OF JUSTICE

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Full audit report in Lithuanian is available on the website
of the National Audit Office: www.vkontrole.lt

DEFINITIONS

COBIT refers to IT management methods developed by ISACA¹.

Data syntax rules refer to the instructions (rules) of data description and manipulation.

Data Dictionary refers to a data base, which provides the title of the data element, type, range of values, source and authorisation to access each data base element. This data base also indicates which applications use this data and thus enables changing the list of the software using the data while examining the data structure. The Data Dictionary may operate as an independent structure used for management or documentation, or could manage database work².

IS refers to information system.

IT refers to information technology.

ISDC refers to the Information Society Development Committee under the Ministry of Transport and Communications

PDIS refers to the Prison Department Information System

Other concepts used in this report are interpreted according to their definition in the Law on State Information Resources Management of the Republic of Lithuania.

¹ ISACA – Information Systems Audit and Control Association. Access on the internet <http://www.isaca.org/about-isaca/Pages/default.aspx> [accessed on 27-11-2013].

² COBIT 4.1, 2011, Vilnius, p.s 189.

EXECUTIVE SUMMARY

One of the goals of the Ministry of Justice is to develop the state policy in the field of registers and information systems under the management area of the Minister, also to organise, coordinate and control the implementation of this state policy³. The Minister of Justice is responsible for information resources — state registers and state information systems — which are very important to the entire state.

The majority of the information resources managed by the Ministry are managed by institutions under the responsibility of the Minister of Justice. Therefore, the auditors focused the major attention on the activity and actions of the Ministry, which involve the planning, organisation, monitoring, assessment and coordination of these resources, as well as other aspects of strategic management of state information systems and registers.

The institutions under the responsibility of the Ministry and the Minister of Justice manage 28 information systems and registers, as well as 1 cadaster. The Minister of Justice manages 16 institutions.

The purpose of the audit was to evaluate the management of the information resources at the Ministry of justice.

The audit was conducted at the Ministry of Justice. Information was gathered from the institutions under the responsibility of the Minister of Justice: the Central Mortgage Office, European Law Department, Prison Department, State Patent Bureau, Forensic Science Centre of Lithuania, Law Institute of Lithuania, State Consumer Rights Protection Authority, State-Guaranteed Legal Aid Service of Vilnius, PI Centre of Registers, State Forensic Medicine Service and the State Data Protection Inspectorate.

The conclusions of the audit were made after the analysis of the documentation of the information resources at the Ministry of Justice, the working regulations and protocols of the working groups and committees, documentation of information resource development, the data of the registers and information system registers, as well as taking into account conversations with the representatives of the Ministry and the above-mentioned institutions.

The audit period includes 2010-2013.

The following conclusions and recommendations of the public audit were drawn upon the assessment of the audit findings.

CONCLUSIONS

1. The Ministry lacks a coherent and comprehensive IT management strategy covering its entire management area, there are no IT management standards:
 - 1.1. by including only two (out of 16) institutions under the management of the Minister of Justice into the IT development documents, the Ministry does not coordinate all of the information resource development and improvement areas (subchapter 1.1, p. 9);

³ The Provisions of the Ministry of Justice of the Republic of Lithuania, approved by the resolution of the Government of the Republic of Lithuania No. 851 of 09-07-1998, p. 7.

- 1.2. the management area of the Minister includes IS and registers, which should be managed by the Ministry, rather than by the institutions under the management of the Minister (subchapter 1.3, p. 13);
- 1.3. there is no management structure, the participants of which could represent the IT demands of all of the areas managed by the Ministry and analyse the risks arising to the IS and registers managed by the Ministry, summarizing them and giving suggestions when making decisions regarding IT development priorities and investments into this technology (subchapter 1.3, p. 13);
- 1.4. IT project management at the institutions under the Ministry is not systematic, the demand for IT solutions and technical compatibility on the state level is not always considered (subchapter 1.5, p. 18);
- 1.5. the authorities of the Ministry do not have any data about the efficiency of the IT processes in the management area of the Minister of Justice, as well as their compatibility with the activity requirements, which results in failure to define deficiencies in the control of IT processes (subchapter 1.7, p. 22).
2. The control measures at the Ministry of Justice that help to ensure legally-defined confidentiality, consistency and availability of electronic information (data) are insufficient, because:
 - 2.1. there is no model of the general structure of the information resources under the management area of the Minister of Justice, which would comply with the IT development plans in the entire management area (subchapter 1.2, p. 12);
 - 2.2. there is no system to classify the data of management area, based on the significance and discreteness of the data (subchapter 1.2, p. 12);
 - 2.3. there is no person responsible for taking care of, coordination and control of IT security of the institutions under the Ministry (subchapter 1.3, p. 13).
3. The investment planning and allocation system is insufficient in solving the issues of IT investments, because the allocation criteria for investments into information systems and registers are applied improperly (subchapter 1.4, p. 16).
4. The Ministry does not focus enough attention on the development and legalisation of IS and registers in the management area of the Minister of Justice:
 - 4.1. there is no precise information about the number of the information resources in the management area of the Minister, while the IS used by the institutions under the Ministry are invalid (chapter 1.2, p. 12);
 - 4.2. the Prison Department has not been following the IS development procedure, defined by the Law on State Information Resources Management, which results in failure to ensure appropriate PDIS data management, use and protection (subchapter 1.5, p. 18);
 - 4.3. the data security regulations of one register and four information systems were neither coordinated, nor approved. These include:
Business Continuity Management Plan, User Administration Regulations, Rules of Secure Electronic Information Processing (subchapter 1.6, p. 20).

RECOMMENDATIONS

To the Ministry of Justice of the Republic of Lithuania

1. It is necessary to prepare an IT management plan for the management area of the Minister of Justice, which would include all state information resources of the management area and the compatibility of the management directions and priorities of the information resources managed by the Ministry of Justice and other ministries (conclusion 1.1).
2. It would be advisable to inventory the information resources of the management area, review their management regulations and make decisions regarding changes of these regulations, based on the Law on State Information Resources Management (conclusions 1.2 and 4).
3. It is necessary to develop an organisational structure for solving the major IT strategic and IT management tasks, as well as ensure appropriate representation and operation coordination on all levels — management, all management areas of the Minister of Justice and IT (conclusion 1.3).
4. Seeking to ensure the IT project management quality of the institutions under the management area of the Minister of Justice and use the IT project management experience of the subordinate institutions, it is necessary to adopt common principles of IT project management (conclusion 1.4).
5. It would be advisable to introduce the control of IS compliance to external requirements, which reduces the number of inconsistencies to the legislations and guarantee compliance to information safety requirements (conclusions 1.5, 2.3 and 4).
6. It is necessary to define the model of the information structure of the management area of the Minister of Justice: to classify all data managed in the area according to relevance and define the principles of their integrity and consistency (conclusions 2.1-2.2).
7. It would be advisable to develop or adapt the current IT property and service investment management methods, which would include a detailed IT budgeting and priority-setting procedure, as well as the mechanism of IT investment control and benefit analysis (conclusion 3).
8. It is necessary to change the IT investment planning and allocation system in order to make sure that the investment allocated to all information resources of the management area of the Minister of Justice are evaluated according to appropriate criteria (conclusion 3).

The recommendation implementation plan is provided in the appendix No. 2.