



Inspector General Insights

Background: As part of our Memorandum of Understanding with the Department of Highway Safety and Motor Vehicles (DHSMV), the Office of Inspector General (OIG) performs annual audits and/or certifications of controls to ensure that confidential information is properly handled.

Due to recently enhanced requirements by the DHSMV, the Clerk's office needed to confirm that the data security policies were approved by a Risk management IT with specific credentials, such as CISA, CISM, CRISC, or CISSP.

Objective: Our objective was to determine if a properly certified Risk Management IT Security Professional performed a review of the Clerk's data security policies. If so, we would provide this verification to the DHSMV.

Observations: Although the Clerk's IT (CIT) staff have many and varied credentials, the risk landscape related to hacking is always evolving. Accordingly, CIT regularly (not less than every other year) outsources penetration testing and a security analysis with a nationally recognized firm who specializes in this service.

The OIG reviewed a seven-page assessment entitled, "Information Security Assessment Executive Summary Report", dated October 8, 2021. We noted that the assessment was performed by a professional with a CISA designation, including a table noting the following results:

Assessment Component	Description	Rating
Policies, Procedures, Practices Assessment (PPPA)	Comparison of documented security policies, procedures and practices with best practices	Reasonably mature

We noted that the other items tested included a top-down strategic risk assessment, internal and external assessments, configuration reviews, organizational assessments of employee knowledge and physical security. The comparison of documented policies and procedures, including the de facto practices observed, were evaluated in accordance with NIST (National Institute of Standards and Technology) guidelines.

Conclusion: As a result of our review, the OIG was able to confirm that the data security policies related to Department of Highway Safety and Motor Vehicles were approved by a Risk management IT with the credentials such as CISA, CISM, CRISC, or CISSP.

Total # Transactions	Amounts Audited or Reviewed	Questioned Costs	Taxpayer Savings	# Observations / Recommendations
1	N/A	N/A	N/A	N/A