



PUBLIC INFORMATION

INTERNAL AUDIT DEPARTMENT



First Follow-Up Information Technology Audit: District Attorney-Public Administrator Selected Cybersecurity Controls

As of September 30, 2022

Audit No. 2159-B (Reference 2041-F1)
Report Date: February 23, 2023

Recommendation Status

5

Implemented

6

In Process

0

Not Implemented

0

Closed

OC Board of Supervisors

CHAIRMAN DONALD P. WAGNER
3rd DISTRICT

VICE CHAIRMAN ANDREW DO
1st DISTRICT

SUPERVISOR VICENTE SARMIENTO
2nd DISTRICT

SUPERVISOR DOUG CHAFFEE
4th DISTRICT

SUPERVISOR KATRINA FOLEY
5th DISTRICT



INTERNAL AUDIT DEPARTMENT

Audit No. 2159-B
(Reference 2041-F1)

February 23, 2023

To: Todd Spitzer
District Attorney-Public Administrator

From: Aggie Alonso, CPA, CIA, CRMA
Internal Audit Department Director

Subject: First Follow-Up Information Technology Audit: District Attorney-Public
Administrator Selected Cybersecurity Controls

We have completed a follow-up audit of Information Technology Audit of District Attorney-Public Administrator (OCDA) as of September 30, 2022, original Audit No. 2041, dated September 24, 2021. Due to the sensitive nature of specific findings (restricted information), results are redacted from public release. Additional information, including background and our scope, is included in Appendix A.

Our first follow-up audit concluded OCDA implemented five (5) recommendations and is in the process of implementing the remaining six (6) recommendations. A second follow-up audit will be performed in approximately six months and a follow-up audit report form is attached to facilitate that audit. Any recommendations not implemented or in process at that time will be brought to the attention of the Audit Oversight Committee at its next scheduled meeting.

We appreciate the assistance extended to us by OCDA personnel during our follow-up audit. If you have any questions, please contact me at 714.834.5442 or IT Audit Manager Jimmy Nguyen at 714.834.2526.

Attachments

Other recipients of this report:

- Members, Board of Supervisors
- Members, Audit Oversight Committee
- County Executive Office Distribution
- District Attorney Agency Distribution
- Foreperson, Grand Jury
- Robin Stieler, Clerk of the Board
- Eide Bailly LLP, County External Auditor

INTERNAL AUDIT DEPARTMENT

RESULTS

Content has been removed from Results due to sensitive nature of the specific findings.

AUDIT TEAM	Jimmy Nguyen, CISA, CFE, CEH Stephany Franco Mari Elias, DPA	IT Audit Manager II Senior Auditor Administrative Services Manager
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INTERNAL AUDIT DEPARTMENT

APPENDIX A: ADDITIONAL INFORMATION

SCOPE	Our first follow-up audit was limited to reviewing actions taken by OCDA as of September 30, 2022 to implement the eleven (11) recommendations from our original Audit No. 2041, dated September 24, 2021.
BACKGROUND	The original audit reviewed selected cybersecurity controls administered by OCDA. The original audit identified three (3) Critical Control Weaknesses, five (5) Significant Control Weaknesses, and three (3) Control Findings.



INTERNAL AUDIT DEPARTMENT

APPENDIX B: FOLLOW-UP AUDIT IMPLEMENTATION STATUS

Implemented	In Process	Not Implemented	Closed
The department has implemented our recommendation in all respects as verified by the follow-up audit. No further follow-up is required.	The department is in the process of implementing our recommendation. Additional follow-up may be required.	The department has taken no action to implement our recommendation. Additional follow-up may be required.	Circumstances have changed surrounding our original finding/ recommendation that: (1) make it no longer applicable or (2) the department has implemented and will only implement a portion of our recommendation. No further follow-up is required.

