



PUBLIC INFORMATION

INTERNAL AUDIT DEPARTMENT



First Follow-Up Information Technology Audit: Registrar of Voters Selected Cybersecurity Controls

As of August 31, 2023

Audit No. 2259-B (Reference 2042-F1) Report
Date: December 14, 2023

Recommendation Status

4

Implemented

2

In Process

0

Not Implemented

3

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. 2259-B
(Reference 2042-F1)

December 14, 2023

To: Bob Page
Register of Voters

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

Subject: First Follow-Up Information Technology Audit: Registrar of Voters Selected
Cybersecurity Controls

We have completed a follow-up information technology audit of selected cybersecurity controls at the Registrar of Voters as of August 31, 2023, original Audit No. 2042, dated September 12, 2022. 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 that the Registrar of Voters implemented four (4) recommendations, two (2) recommendations are in process, and three (3) recommendations are closed. 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 the Registrar of Voters 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
- Frank Kim, County Executive Officer
- KC Roestenberg, Chief Information Officer
- ROV Distribution
- Foreperson, Grand Jury
- Robin Stieler, Clerk of the Board
- Eide Bailly LLP, County External Auditor

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RESULTS

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

AUDIT TEAM	Jimmy Nguyen, CISA, CFE, CEH Scott Kim, CPA, CISA, CFE Stephany Franco Thuy Luu	IT Audit Manager II IT Audit Manager I Senior Auditor Staff Specialist
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APPENDIX A: ADDITIONAL INFORMATION

SCOPE	Our first follow-up was limited to reviewing actions taken by Registrar of Voters as of August 31, 2023 to implement the nine (9) recommendations from our original Audit No. 2042, dated September 12, 2022.
BACKGROUND	The original audit reviewed selected high-risk cybersecurity controls at Registrar of Voters. The original audit identified one (1) Critical Control Weakness, four (4) Significant Control Weaknesses, and four (4) Control Findings.



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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.

