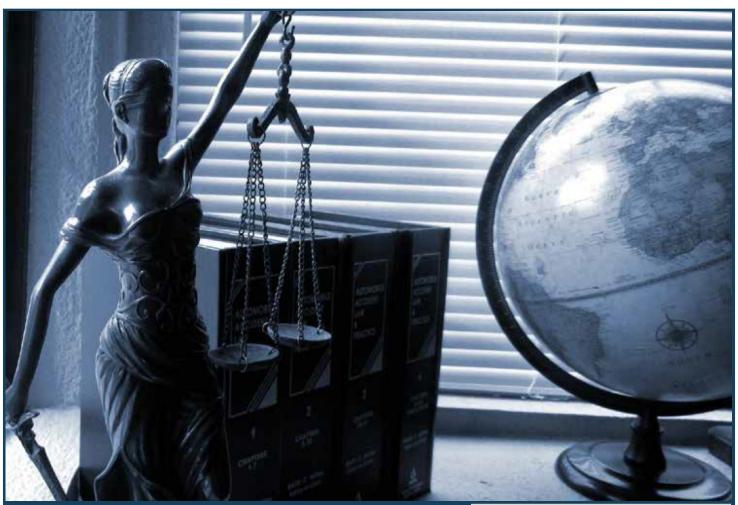


# INTERNAL AUDIT DEPARTMENT



First Follow-Up **Information Technology Audit: Probation Selected Cybersecurity Controls** 

As of May 31, 2024

Audit No. 2043-F1 Report Date: June 25, 2024

### **Recommendation Status**



**Implemented** 



**In Process** 



**Not Implemented** 



Closed

### **OC Board of Supervisors**

CHAIRMAN DONALD P. WAGNER

VICE CHAIRMAN DOUG CHAFFEE SUPERVISOR ANDREW DO

SUPERVISOR VICENTE SARMIENTO

SUPERVISOR KATRINA FOLEY



### Internal Audit Department

Audit No. 2043-F1

June 25, 2024

To: Daniel Hernandez

Chief Probation Officer

From: Aggie Alonso, CPA, CIA, CRMA

Internal Audit Department Director

Subject: First Follow-Up Information Technology Audit: Probation Selected Cybersecurity

Controls

We have completed a follow-up audit of Probation Selected Cybersecurity Controls as of May 31, 2024, original Audit No. 2043, dated March 3, 2023. 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 Probation implemented four recommendations, one recommendation is in process, and one recommendation was 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 recommendation 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 Probation personnel during our follow-up audit. If you have any questions, please contact me at (714) 834-5442 or Assistant Deputy Director Michael Dean at (714) 834-4101.

#### Attachments

Other recipients of this report:
Members, Board of Supervisors
Members, Audit Oversight Committee
County Executive Office Distribution
Probation 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	Michael Dean, CPA, CIA, CISA	Assistant Deputy Director
	Jimmy Nguyen, CISA, CFE, CEH	Senior IT Audit Manager
	Tina Dinh	Senior Auditor
	Thuy Luu	Staff Specialist
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# Internal Audit Department

APPENDIX A: ADDITIONAL INFORMATION			
SCOPE	Our first follow-up audit was limited to reviewing actions taken by Probation as of May 31, 2024, to implement the six recommendations from our original Audit No. 2043, dated March 3, 2023.		
BACKGROUND	The original audit reviewed selected cybersecurity controls administered by Probation. The original audit identified one Critical Control Weakness and five Significant Control Weaknesses.		

## 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.