



PUBLIC INFORMATION

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

4	Implemented
1	In Process
0	Not Implemented
1	Closed

OC Board of Supervisors

CHAIRMAN DONALD P. WAGNER
3rd DISTRICT

VICE CHAIRMAN DOUG CHAFFEE
4th DISTRICT

SUPERVISOR ANDREW DO
1st DISTRICT

SUPERVISOR VICENTE SARMIENTO
2nd DISTRICT

SUPERVISOR KATRINA FOLEY
5th DISTRICT



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

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RESULTS

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

AUDIT TEAM	Michael Dean, CPA, CIA, CISA Jimmy Nguyen, CISA, CFE, CEH Tina Dinh Thuy Luu	Assistant Deputy Director Senior IT Audit Manager Senior Auditor Staff Specialist
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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.



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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.