



INTERNAL AUDIT DEPARTMENT



Second & Final Close-Out Follow-Up Information Technology Audit: Registrar of Voters Selected Cybersecurity Controls

As of August 31, 2024

Audit No. 2042-F2
Report Date: September 30, 2024

Recommendation Status

FIRST
FOLLOW-UP

SECOND
FOLLOW-UP

4

Implemented

2

2

In Process

0

0

Not Implemented

0

3

Closed

0

Second Follow-Up totals represent findings that were In Process or Not Implemented at First Follow-Up

OC Board of Supervisors

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3rd DISTRICT

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4th DISTRICT

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5th DISTRICT



INTERNAL AUDIT DEPARTMENT

Audit No. 2042-F2

September 30, 2024

To: Bob Page
Registrar of Voters

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

Subject: Second & Final Close-Out Follow-Up Information Technology Audit: Registrar of Voters Selected Cybersecurity Controls

We have completed a second follow-up audit of Registrar of Voters (ROV) Selected Cybersecurity Controls as of August 31, 2024, 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 second follow-up audit concluded that ROV implemented the two remaining recommendations. Because all two remaining recommendations were implemented, this report represents the final close-out of the original audit.

We appreciate the assistance extended to us by ROV personnel during our follow-up audit. If you have any questions, please contact me at (714) 834-5442 or Senior 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
- Registrar of Voters 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 Stephany Franco Thuy Luu	Senior IT Audit Manager Senior Auditor Staff Specialist
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APPENDIX A: ADDITIONAL INFORMATION

SCOPE	Our follow-up audit was limited to reviewing actions taken by ROV as of August 31, 2024 to implement the two remaining recommendations from our original Audit No. 2042, dated September 12, 2022.
BACKGROUND	The original audit reviewed selected high-risk cybersecurity controls administered by ROV. The first follow-up concluded ROV implemented four recommendations, was in process of implementing two recommendations, and three recommendations were closed.



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.

