



INTERNAL AUDIT DEPARTMENT



**Second & Final Close-Out Follow-Up
Information Technology Audit:
Probation Selected
Cybersecurity Controls
As of July 31, 2025**

**Audit No. 2043-F2
Report Date: September 30, 2025**

Recommendation Status

**FIRST
FOLLOW-UP**

**SECOND
FOLLOW-UP**

4

Implemented

1

1

In Process

0

0

Not Implemented

0

1

Closed

0

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

OC Board of Supervisors

CHAIR DOUG CHAFFEE
4th DISTRICT

VICE CHAIR KATRINA FOLEY
5th DISTRICT

SUPERVISOR JANET NGUYEN
1st DISTRICT

SUPERVISOR VICENTE SARMIENTO
2nd DISTRICT

SUPERVISOR DONALD P. WAGNER
3rd DISTRICT



INTERNAL AUDIT DEPARTMENT

Audit No. 2043-F2

September 30, 2025

To: Daniel Hernandez
Chief Probation Officer

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

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

We have completed a second follow-up audit of Probation Selected Cybersecurity Controls as of July 31, 2025, 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 second follow-up audit concluded that Probation implemented the one remaining recommendation. Because the recommendation was implemented, this report represents the final close-out of the original audit.

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 Deputy Director Jose Olivo at (714) 834-5509.

Attachments

Other recipients of this report:

- Members, Board of Supervisors
- Members, Audit Oversight Committee
- Michelle Aguirre, County Executive Officer
- KC Roestenberg, Chief Information Officer
- 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 the sensitive nature of the specific findings.

AUDIT TEAM	Michael Dean, CPA, CIA, CISA Jimmy Nguyen, CISA, CFE, CEH Michael Steinhaus, CISA, CIA, CPA JC Lim, CIA, CISA Gabriela Cabrera, CIA	Assistant Deputy Director Senior IT Audit Manager IT Audit Manager Senior Auditor Administrative Services Manager
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APPENDIX A: ADDITIONAL INFORMATION

SCOPE	Our follow-up audit was limited to reviewing actions taken by Probation as of July 31, 2025, to implement the one remaining recommendation from our original audit, 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
<p>The department has implemented our recommendation in all respects as verified by the follow-up audit. No further follow-up is required.</p>	<p>The department is in the process of implementing our recommendation. Additional follow-up may be required.</p>	<p>The department has taken no action to implement our recommendation. Additional follow-up may be required.</p>	<p>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.</p>