



Interoffice Memorandum

APPROVED  
BY ORANGE COUNTY BOARD  
OF COUNTY COMMISSIONERS

DEC 16 2014 KH/BS

**AGENDA ITEM**

December 8, 2014

TO: Mayor Teresa Jacobs  
-AND-  
Board of County Commissioners

FROM: Randy Singh, Manager, Office of Management and Budget *R.S.*

SUBJECT: Consent Agenda Item for December 16, 2014  
Acceptance of Audit Report

Section 712 of the Orange County Charter requires the Orange County Board of County Commissioners to order audits, including performance audits, of the Orange County Comptroller. Attached is the executive summary of the most recent audit completed by the information technology audit company of Securance Consulting on August 7, 2014.

**ACTION REQUESTED: Acceptance of Information Technology Assessment Report regarding an Audit Report on agreed-upon procedures performed for the Information Systems Division of the Office of the Comptroller.**

RS/DH

Attachment

c: County Administrator  
Clerk of the Board of County Commissioners  
Finance  
File



**SECURANCE  
CONSULTING**



**INFORMATION TECHNOLOGY  
ASSESSMENT REPORT**



Provided for:

**ORANGE COUNTY COMPTROLLER**

## EXECUTIVE SUMMARY

### INTRODUCTION AND SCOPE

During July 2014, Securance Consulting performed an information technology (IT) General Controls Review audit for the Orange County Comptroller. The objective of the engagement was to ensure that infrastructure network hardware is configured securely and to ensure that supporting general IT processes are operating effectively.

The scope of the engagement included an assessment of select IT processes, a detailed review of the Internet-facing firewall, and an assessment of organizational compliance with Payment Card Industry (PCI), Data Security Standard (DSS), and Health Insurance Portability and Accountability Act (HIPAA). The scope of the review was limited to those areas specifically defined by the Orange County OMB and was not intended to be a comprehensive examination of the Orange County Comptroller's entire information systems function.

### APPROACH AND METHODOLOGY

We designed an approach and applied our proven methodology, which ensured a comprehensive capture and review of the IT risks and technical vulnerabilities that exist within Orange County Comptroller's in-scope technologies. The approach combined the use of manual security audit techniques and the use of commercial and proprietary security tools designed to identify risks in Orange County Comptroller's IT computing environment. Our procedures included:

- Review of manuals, reference materials, and Best Practice security guides;
- Network Foot printing – Researching public information on the target, including technical listings (e.g., ARIN WHOIS, DNS Lookup, etc.) and public information (e.g., newsgroups, search engines, Weblogs, etc.);
- Scanning – Utilizing automated tools to identify specific systems and services, software and operating system version levels, hardware devices, firewall configurations, and other information; and
- Enumeration – Identifying specific vulnerabilities and avenues of attack through both automated and manual means.

We did not perform any privilege escalation or exploitation of the identified vulnerabilities in an attempt to gain access to a system or compromise accounts/services. The tools utilized and our procedures, including the timing of our fieldwork, were configured and conducted to eliminate the possibility of any disruption to Orange County Comptroller's Information Technology (IT) environment.



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**SUMMARY OF FINDINGS AND MANAGEMENT'S RESPONSE**

We identified two (2) findings that require action within 90 days and five (5) items of a lower risk that recommended action is within 180 days. We have reviewed the findings with the Orange County Comptroller's Information Technology management team who have agreed and plan to address each finding. The Orange County Office of Management and Budget was included in the discussion of initial findings and Comptroller's Information Technology management team responses. The Office of Management and Budget accepted the report and responses in accordance with Orange County contract number Y14-609.

In accordance with the contract and with customary security practices, the details of the initial findings are not discussed in this summary report. If members of the Board of County Commissioners wish to discuss the report in further detail, the management and project team of Securance Consulting are available under the terms of the contract.

Professional regards,

*Paul Ashe*

Paul Ashe, President  
Securance LLC





the advantage of insight

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