



I n t e r n a l A u d i t D e p a r t m e n t

O R A N G E C O U N T Y

AUDIT HIGHLIGHT

APRIL 29, 2013

KEY CONTROL AUDIT

INFORMATION TECHNOLOGY AUDIT DISTRICT ATTORNEY COMPUTER GENERAL CONTROLS Audit No. 1143

WHY IS THIS AUDIT IMPORTANT?

The District Attorney Office (DA) has a budget of **\$114 million** and a **staff of 723** including executive managers, attorneys, investigative staff, paralegals and legal support staff, and administrative staff. The District Attorney represents the People of California in some civil and in most criminal proceedings. The Office's **250 attorneys** annually prosecute over 80,000 cases. Office personnel are located in five Justice Centers (Central, Harbor, North, West, and Juvenile) throughout the County. DA Information Technology utilizes a number of key systems including the following State and Countywide systems:

- o CMS – Case Management System: Used to track all criminal cases prosecuted by the DA;
- o BILL – DNA Collection: Used to track the data of volunteers who have supplied a DNA sample;
- o DNA: Used for crime scene DNA case tracking and DNA evidence tracking; and
- o EDC – Electronic Directions for Complaints: Used by the County police agencies to upload Request for Complaints and supporting documentation.

General controls are the structure, policies, and procedures that apply to an entity's overall computer operations. If general controls are weak, they severely diminish the reliability of controls associated with individual applications. **The audited IT general controls were found adequate.**

WHAT THE AUDITORS FOUND?

Successes

Our audit found that: (1) **adequate** security-related personnel policies have been developed; (2) **adequate** user access and physical access general controls were present to provide reasonable assurance that computer resources are protected from unauthorized personnel; (3) **adequate** configuration management, including change management, have been developed; (4) **adequate** segregation of duties exists within the IT organization; and (5) **adequate** policies and procedures for disaster recovery/business continuity have been substantially developed to help mitigate service interruptions and protect computing resources from environmental hazards.

Audit Finding and Control Recommendation

We identified **one (1) Control Finding** regarding further development of business continuity plan documents.