



Internal Audit Department

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

AUDIT HIGHLIGHT

OCTOBER 27, 2010

**Critical
Impact
Audit**

**Information Technology Audit:
CAPS STEERING COMMITTEE
CAPS+ FINANCIAL SYSTEM
ORACLE DATABASE CONFIGURATION
Audit No. 2948**

**RECORDS OVER \$3.4
BILLION COLLECTED &
DISBURSED ANNUALLY**

WHY IS THIS AUDIT CRITICALLY IMPORTANT?

The County of Orange implemented CAPS+ on July 1, 2009 as its enterprise financial system to record general ledger, fixed asset, cost accounting, purchasing, cash receipting, and accounts payable transactions. The CAPS+ financial system uses Oracle 10g as its database management software. For the fiscal year ended June 30, 2009, the County collected revenue and disbursed expenditures exceeding **\$3.4 billion**.

We reviewed the Oracle database configuration for the CAPS+ financial system in the following areas: Account Profiles, Privileges and Authorizations, Listener, Data Security, Operating System, Database Links, Auditing/Logging, Authentication, Database Parameters and Other Oracle Database Security Features.

WHAT THE AUDITORS FOUND?

Successes

We found that the Oracle database was generally configured to secure the CAPS+ financial system data, but there are enhancements that can and should be made to provide better security.

Audit Findings and Control Recommendations

We identified **one (1) Significant Issue** and **nine (9) Control Findings** to improve configurations, controls, and processes for the CAPS+ Oracle database. The CAPS Steering Committee and CEO/Information Technology concurred with all findings and recommendations. Corrective action has already been implemented for four (4) of the recommendations.

Because of the sensitivity of the issues and risks of disclosing specific details, we have issued a public report (2948-A) containing general information and a confidential report (2948-B) containing the specific details. The confidential report distribution is limited to the CAPS Steering Committee and selected personnel within CEO/Information Technology and the Auditor-Controller.