

July 20, 2023

Judge Bedelia Hargrove,  
Probate Court  
Georgia, 30030

**RE: E: Follow-up Report on Termination and Transfer of Employees - Probate Court Audit-Report No.IA-2022-077-IT**

Dear Judge Hargrove:

As required by DeKalb County, Georgia – Code of Ordinances/Organizational Act Section 10A – Independent Internal Audit (I), the Office of Independent Internal Audit has completed a follow-up of the audit noted above. I have attached the Office of Independent Internal Audit's report on the status of actions taken by your office to address the findings contained in the audit report referenced above.

**Status of Audit Findings**

Based on our review of management responses to the findings, we concluded that: three of three findings are "Closed".

Finding No.	Report Finding	Status of Management Action Plans
1	Untimely Deactivation of System Access of Terminated and Transferred Employees on Odyssey, Eagle, and eFileGA Applications.	Closed
2	Non-Performance of Periodic Reviews of User System Access.	Closed
3	Untimely Deactivation of Network Access for Terminated Employees.	Closed

Please contact me if you require additional information.

Sincerely,

*Lavois Campbell*

**Lavois Campbell, CIA, CFE, CISA, CGA**

Chief Audit Executive

**Attachment:** Audit Findings Status Update Form

**cc.** Michael L. Thurmond, Chief Executive Officer  
Robert Patrick, Board of Commissioners District 1  
Michelle Long-Spears, Board of Commissioners District 2  
Larry Johnson, Board of Commissioners District 3  
Steve Bradshaw, Board of Commissioners District 4  
Mereda Davis Johnson, Board of Commissioners District 5  
Ted Terry, Board of Commissioners District 6  
Lorraine Cochran-Johnson, Board of Commissioners District 7  
Lisa Earls, Chairperson, Audit Oversight Committee  
Gloria Gray, Vice-Chairperson, Audit Oversight Committee  
Adrienne T. McMillion, Audit Oversight Committee  
Harold Smith, Jr., Audit Oversight Committee  
Tanja Christine Boyd-Witherspoon, Audit Oversight Committee

**Information Distribution:**

Zachary L. Williams, Chief Operating Officer/ Executive Assistant  
La'Keitha D. Carlos, CEO's Chief of Staff  
Vivian Ernstes, County Attorney  
Kwasi K. Obeng, Chief of Staff, Board of Commissioner  
John Matelski, Chief Information Officer and Director of Innovation and Technology  
J. Caroline Freeman, Associate Judge, Probate Court of DeKalb County

Dekalb County Government			
Office of Independent Internal Audit			
Date: July 20, 2023		Prepared by: Tolu Ologbenla-Ella	
Audit Findings Status Update Form			
Status Date	Report #	Report Title	
7/20/2023	IA-2022-077-IT	Audit of Terminated and Transferred Employees - Probate	
Contact Person	Title	Phone No.	Email Address
Caroline Freeman	Associate Judge	404-687-3563	<a href="mailto:icfreeman@dekalbcountyga.gov">icfreeman@dekalbcountyga.gov</a>
Activity	Accountability	Schedule	
Follow-up	Responsible Area	Repeat Finding	Anticipated Completion Date/Date Adjustments will be made
	System Access	N/A	2 months after the final audit report
Finding		Finding Detail	
No.	1		
Date	12/30/2022		
Finding		Untimely Deactivation of System Access of Terminated and Transferred Employees on Odyssey, Eagle, and eFileGA Applications	
Recommendation		<p>We recommend that the Probate Court management should:</p> <ul style="list-style-type: none"> <li>Collaborate with HR and DoIT management to develop a formal procedure for the removal of user access to the applications, including the timeliness of HR notifications.</li> <li>Adhere to the HR termination guide that indicates the timeline for notification of the effective date of termination or transfer of employees.</li> <li>Deactivate terminated or transferred users' accounts immediately from the applications as stated by best practices such as the National Institute of Standards and Technology (NIST), the Payment Card Industry Data Security Standard (PCI-DSS), and Control Objectives for Information and Related Technology (COBIT).</li> <li>Collaborate with the applications' vendors to ensure the dates of deactivation of access on Eagle and eFileGA application systems users' reports are periodically generated for review.</li> </ul>	
Management Response		<p>Probate Court will create a standard operating procedure for deactivating terminated and transferred employees' access to Odyssey, Eagle, and eFileGA.</p> <ul style="list-style-type: none"> <li>Probate Court System Administrator will create a tool to track the deactivation of user access</li> </ul>	
Status Update-12 months		<p>Probate Court has created a Standard Operating Procedure for processing terminated and transferred employees.</p> <p>Probate Court System Administrator has created a spreadsheet to track user access.</p> <p>The Standard Operating Procedure and The User Accounts Spreadsheet were provided to the OIIA.</p>	
	Open		
	Management/Agency Assumes Risk		
	Partially Complete		
	Complete Pending Verification by OIIA		
X	Closed		

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7/20/2023		IA-2022-077-IT	Audit of Terminated and Transferred Employees - Probate	
Contact Person		Title	Phone No.	Email Address
Caroline Freeman		Associate Judge	404-687-3563	<a href="mailto:icfreeman@dekalbcountyga.gov">icfreeman@dekalbcountyga.gov</a>
Activity		Accountability	Schedule	
Follow-up		Responsible Area	Repeat Finding	Anticipated Completion Date/Date Adjustments will be made
		User Access Review	N/A	One month after final audit report
Finding		Finding Detail		
No.	2			
Date	12/30/2022			
Finding		Non-Performance of Periodic Reviews of User System Access.		
Recommendation		<ul style="list-style-type: none"> <li>• Probate Court management coordinate with DoIT and HR management to:</li> <li>• Establish a standard operating procedure for the review of users' access and roles on the Odyssey, Eagle, and eFileGA applications. The procedure should include but is not limited to:</li> <li>• The identification, roles, and responsibilities of the review managers conducting the review and other stakeholders.</li> <li>• The required reports are needed for a complete review of the users.</li> <li>• The criteria, guidelines, and documentation required to be maintained to support the review.</li> <li>• The period, duration, and frequency of the review.</li> <li>• The procedures for addressing and validating recommendations made during the review.</li> <li>• Establish a procedure for routine training of the reviewing officers to ensure that accurate and appropriate user system access reviews are carried out.</li> <li>• Include Probate Court administration on the distribution list for termination and transfer reports. Or grant the ability for Probate Court administration to generate these reports from CV360 (County Personnel Management Application).</li> </ul>		
Management Response		<ul style="list-style-type: none"> <li>• Probate Court System Administrator will perform a review of user access on the Odyssey, Eagle, and eFileGA applications on the first of each month.</li> <li>• Probate Court System Administrator will document the findings and submit them to the Probate Court Associate Judge for review.</li> <li>• Probate Court HR Coordinator will contact County HR about obtaining access to termination and transfer reports</li> </ul>		
Status Update-12 months		Probate Court System Administrator performs a review of user access on the Odyssey, Eagle, and eFileGA applications on the first Tuesday of each month and sends an email documenting his findings to the Associate Judge. The User Access Review for May 2023 was provided as an example.		
<input type="checkbox"/>	Open	Probate Court HR Coordinator has been in contact with County HR about reports. At this time CV360 does not generate a report that details all terminated and transferred employees for a department. Since this report is unavailable from County HR, Probate Court HR Coordinator has created a spreadsheet to track terminated and transferred employees.		
<input type="checkbox"/>	Management/Agency Assumes Risk			
<input type="checkbox"/>	Partially Complete			
<input type="checkbox"/>	Complete Pending Verification by OIIA			
<input checked="" type="checkbox"/>	Closed			

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Contact Person		Title	Phone No.	Email Address
Caroline Freeman		Associate Judge	404-687-3563	<a href="mailto:icfreeman@dekalbcountyga.gov">icfreeman@dekalbcountyga.gov</a>
Activity		Accountability	Schedule	
Follow-up		Responsible Area	Repeat Finding	Anticipated Completion Date/Date Adjustments will be made
		Network Access	N/A	Immediate.
Finding		Finding Detail		
No.	3			
Date	12/30/2022			
Finding		Untimely Deactivation of Network Access for Terminated Employees		
Recommendation		<p>Probate Court's management collaborates with the HR and Department of Innovation and Technology to:</p> <ul style="list-style-type: none"> <li>Establish a formal procedure for the timely deactivating of terminated user network access or transferred employees' access to email distribution and security groups no longer required.</li> <li>The policy should establish specific timeframes which may vary depending on if the termination/transfer is considered "friendly" or "unfriendly" as stated in better practices such as the NIST Special Publication 800-53: Personnel Termination PS-4.</li> <li>Deactivate terminated employee accounts immediately from the network as stated by best practices such as the NIST, PCI-DSS, and COBIT.</li> </ul>		
Management Response		<p>Probate Court System Administrator will create an IT ticket requesting that DoIT:</p> <ul style="list-style-type: none"> <li>Deactivate the network access of the terminated employee at the same time access is being terminated on the Odyssey, Eagle, and eFileGA applications.</li> <li>Probate Court System Administrator will check system in 48 hours to confirm that network access has been deactivated and follow up with DoIT If access has not been deactivated.</li> </ul>		
Status Update-12 months		Probate Court has created a Standard Operating Procedure for processing terminated and transferred employees.		
<input type="checkbox"/>	Open	Probate Court System Administrator currently submits a ticket to DoIT to have a terminated employee removed from the network. The DoIT ticket for a recently terminated employee has been provided as an example. Probate Court System Administrator has created a spreadsheet to track user access and document, the DoIT ticket number, removal dates, confirmation that System Administrator checked the status of network access in 48 hours, and any applicable notes.		
<input type="checkbox"/>	Management/Agency Assumes Risk			
<input type="checkbox"/>	Partially Complete			
<input type="checkbox"/>	Complete Pending Verification by OIIA			
<input checked="" type="checkbox"/>	Closed			