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STATE OF NEW YORK
OFFICE OF THE STATE COMPTROLLER

December 19, 2006

Mr. Lucien J. Leclaire, Jr.
Acting Commissioner
New York State Department of Correctional Services
Building # 2, State Campus
1220 Washington Avenue
Albany, New York 12236

Re: 2006-F-41

Dear Mr. Leclaire:

Pursuant to the State Comptroller's authority as set forth in Article V, Section 1 of the State Constitution and Article II, Section 8 of the State Finance Law, we have reviewed the actions taken by officials of the New York State Department of Correctional Services (Department) as of December 1, 2006, to implement the recommendations contained in our audit report, *IT Controls Over the Inmate Application Systems (2004-S-53)*.

Background, Scope and Objective

The Department is responsible for the confinement and habilitation of approximately 65,000 inmates held at 70 State correctional facilities. To help accomplish these tasks, the Department has created a group of applications known as the Inmate Application Systems (IAS). Every person sentenced to a State prison since the early 1970s is listed on IAS, except for youthful offenders and individuals whose convictions have been set aside by a court.

The IAS comprises 24 individual subsystems that process comprehensive inmate profile information, including crime and sentence data, security designation and restrictions, test and medical data, housing locations, transfer history, disciplinary history, and "enemies data." The IAS computes legal dates, issues transfer orders, prints inmate folder documents, generates facility operating reports, and provides a broad range of management reporting. It is used to access data and print it on-line at the facility level.

Our initial report, which was issued on August 22, 2005, identified certain areas in which the security organization, policies and controls needed to be improved. The details of our results and findings were shared with Department officials and are not included here due to the sensitivity of the information and the potential risk associated with the release of such information.

The objective of our follow-up, which was conducted in accordance with generally accepted government auditing standards, was to assess the extent of implementation, as of December 1, 2006, of the recommendations included in our initial report.

Summary Conclusions and Status of Audit Recommendation

We found the Department partially implemented our recommendation. While the Department has made some progress to implement our recommendation additional improvements are needed.

Follow-up Observation

Recommendation

Implement the specific recommendations for strengthening the IT controls over IAS that were provided to the Department during the audit.

Status - Partially Implemented

Agency Action - Detailed results of Department actions to implement our recommendations were provided to Department officials during the conduct of our audit. The details are not included here due to the sensitivity of the information and the potential risk associated with the release of such information.

Department officials conveyed that while they are committed to fully implement each recommendation, sufficient time has not elapsed to address all of them. Officials indicated they are working to fully implement the remaining recommendations in the near future.

Major contributors to this report were Donald Geary, Randy Partridge and Vicki Wilkins.

We would appreciate your response to this report within 30 days, indicating any actions planned or taken to address any unresolved matters. We also thank the management and staff of the Department for the courtesies and cooperation extended to our auditors during this audit.

Very truly yours,

Richard K. Sturm
Audit Manager

cc: Ms. Lisa Ng, Division of the Budget