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STATE OF NEW YORK
OFFICE OF THE STATE COMPTROLLER

November 19, 2009

Ms. Andrea W. Evans
Board of Parole Chairwoman
New York State Division of Parole
97 Central Avenue - 4th floor
Albany, NY 12206

Re: Report 2009-F-28

Dear Chairwoman Evans:

According 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 followed up on the actions taken by officials of the Division of Parole (Division) to implement the recommendations contained in our audit report, *Network Security Controls* (Report 2007-S-82).

Background, Scope and Objective

The Division of Parole (Division) is responsible for preparing inmates for release and supervising them to the successful completion of their sentence. These responsibilities are carried out by field and facility Division staff. The Division comprises over 30 offices across 5 regions and supervises 45,000 parolees.

The Division has created a computer network (Network) to help carry out its duties. Division employees use the Network to access the Internet and e-mail, agency applications, as well as shared files. The Division must comply with New York State's Cyber Security Policy (Security Policy), which is promulgated by the Office of Cyber Security and Critical Infrastructure Coordination (CSCIC). The Security Policy defines the minimum information security requirements that all State entities must meet.

Our initial audit report, which was issued on May 8, 2008, examined the security controls in place over selected aspects of the Division's computer network. We identified certain areas in which the controls needed to be improved. The objective of our follow-up was to assess the extent of implementation as of September 16, 2009 of the eight recommendations included in our confidential report. Due to the sensitivity of the information and the potential risk associated with the release of such information, the details of the recommendations and their implementation status are not included in this report. However, we discussed the detailed results of our follow-up work with Division officials.

Summary Conclusions and Status of Audit Recommendations

Overall, we found that Division officials have taken some actions to implement our recommendations. However, work still needs to be done. The Division needs to be more timely in taking corrective action or it will be vulnerable to risks to its network. Division officials agreed with our conclusions and indicated that they will take additional actions to fully implement our recommendations.

Major contributors to this report were Nadine Morrell and Corey Harrell.

We would appreciate your response to this report within 30 days, indicating any actions planned to address the unresolved issues discussed during the course of this follow-up. We also thank the management and staff of the Division for the courtesies and cooperation extended to our auditors during this process.

Yours truly,

Brian Reilly
Audit Manager

cc. Mr. Michael Ostermann, Division of Parole
Mr. Thomas Lukacs, Division of the Budget
Ms. Carmen Maldonado, NYS Comptroller's Office