

# STATE OF CONNECTICUT

**AUDITORS' REPORT  
BOARD OF PAROLE  
FOR THE FISCAL YEARS ENDED  
JUNE 30, 1999 AND 2000**

**AUDITORS OF PUBLIC ACCOUNTS**  
KEVIN P. JOHNSTON ♦ ROBERT G. JAEKLE

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September 6, 2001

**AUDITORS' REPORT  
BOARD OF PAROLE  
FOR THE FISCAL YEARS ENDED JUNE 30, 1999 AND 2000**

We have examined the financial records of the Board of Parole for the fiscal years ended June 30, 1999 and 2000. This report on that examination consists of the Comments, Condition of Records, Recommendations and Certification that follow.

Financial statement presentation and auditing are performed on a Statewide Single Audit basis to include all State agencies, including the Board of Parole. This audit has been limited to assessing compliance with certain provisions of financial related laws, regulations, and contracts, and evaluating internal control and procedures established to ensure such compliance.

**COMMENTS**

**FOREWORD:**

The Board of Parole operates primarily under the provisions of Section 54-124a through 54-131g of the General Statutes, as amended. The Board is authorized to grant parole to individuals serving sentences in State correctional institutions when they become eligible, in accordance with sentencing guidelines. In meeting its statutory responsibilities, the Board establishes conditions for parole and provides community supervision and monitoring.

Organizationally, the Board of Parole is divided into four major areas:

- The Administrative Services Division is responsible for all fiscal, business and human resources needs of the Board of Parole.

- The Hearings Division is responsible for investigations of offenders eligible for parole and assisting the Board in parole case reviews. Based on information and recommendations of the Hearings Division, the Board may grant parole through either a public hearing or by administrative review. Administrative reviews are conducted in accordance with Section 54-125(b) of the General Statutes which, under certain circumstances, allows for parole decisions to be rendered without a parole hearing.
- The Field Services Division is responsible for the supervision of parolees residing in the State. The Board also participates in an Interstate Probation and Parole Compact that allows probationers and parolees to serve their periods of community supervision in states other than where their sentence was imposed.
- The Research, Planning and Information Systems Division is responsible for developing and implementing information technology projects, installing equipment, providing reports and developing new client service programs.

In addition, the Board of Parole contracts with State agencies and private vendors to provide residential and non-residential programs. These services include drug and alcohol education, mental health counseling, domestic violence counseling, job counseling, instruction in GED courses and access to alternative residential and non-residential incarceration centers. The Board also operates a Special Management Unit that utilizes contractor services to supervise and treat sex offenders and domestic violence offenders.

A summary of inmate case files reviewed by the Board of Parole during the audited period and the previous fiscal year follows:

|   | <u>1997-1998</u> | <u>1998-1999</u> | <u>1999-2000</u> |
|---|------------------|------------------|------------------|
| Parole granted                            | 1,563            | 1,515            | 2,044            |
| Parole denied                             | 972              | 1,030            | 928              |
| Case review, rescheduled, closed interest | 1,604            | 2,536            | 2,159            |
| Revocations and recissions                | 453              | 636              | 755              |
| Ineligible and waived                     | 173              | 396              | 592              |
| All others                                | <u>327</u>       | <u>418</u>       | <u>453</u>       |
| Totals cases reviewed                     | <u>5,092</u>     | <u>6,531</u>     | <u>6,931</u>     |

Persons granted parole are released to the supervision of the Board's Field Services Division. During the 1998-1999 fiscal year, an average of 1,210 persons were supervised each month, while an average of 1,356 persons were supervised each month during the 1999-2000 fiscal year.

### **Board Membership:**

The Board's chairman, Michael L. Mullen, continued to serve as the full-time executive and administrative head of the Agency throughout the audited period. Effective July 1, 1998, provisions of Public Act 98-234 amended Section 54-124a of the General Statutes establishing two vice-chairmen positions thereby increasing the Board's membership from 13 to 15 members. This act also

authorized the two vice-chairmen to be full-time administrators of the Agency. The terms of both the chairman and vice-chairmen are coterminous with the term of the Governor or until a successor is chosen. All other members of the Board serve on a per-diem basis and are reimbursed for necessary expenses. As of June 30, 2000, the members of the Board were as follows:

|                                 |                   |
|---------------------------------|-------------------|
| Michael L. Mullen, Chairman     | James Gatling     |
| William P. Longo, Vice Chairman | Daniel M. McCabe  |
| Robert J. Moran, Vice Chairman  | Robert L. Minch   |
| Anthony Barbino                 | Robert E. Neil    |
| Cicero B. Booker, Jr            | Edward H. Simpson |
| Greg Butler.                    | Gina Solak        |
| Rubye Daniels                   | Vacancy           |
| Carmen F. Donnarumma            |                   |

During the audited period, Priscilla August and Kathleen J. Armentano had also served as members of the Board.

**RÉSUMÉ OF OPERATIONS:**

General Fund receipts totaled \$409,123 and \$45,241 during the fiscal years ended June 30, 1999 and 2000, respectively. Federal grant receipts made up the majority of receipts during the audited period and totaled \$405,000 and \$24,616 during the respective audited years. Decreases in receipts during the 1999-2000 fiscal year were primarily due to the discontinuance of a Federal grant received from the Office of Policy and Management for parolee residential housing.

A summary of General Fund expenditures for the fiscal years ended June 30, 1999 and 2000, is presented below:

|                      | 1998 – 1999        |                    |                     | 1999 – 2000        |                    |                     |
|----------------------|--------------------|--------------------|---------------------|--------------------|--------------------|---------------------|
|                      | Total              | Operating<br>Costs | Parolee<br>Services | Total              | Operating<br>Costs | Parolee<br>Services |
| Budgeted accounts:   | \$                 | \$                 | \$                  | \$                 | \$                 | \$                  |
| Personal services    | 3,549,659          | 3,549,659          |                     | 4,035,275          | 4,035,275          |                     |
| Contractual services | 2,024,454          | 616,084            | 1,408,370           | 673,469            | 673,469            |                     |
| Commodities          | 90,442             | 90,442             |                     | 185,967            | 185,967            |                     |
| Sundry charges       | 1,184,027          | 525                | 1,183,502           | 2,378,964          | 2,250              | 2,376,714           |
| Grants-in-aid        |                    |                    |                     | 602,279            |                    | 602,279             |
| Equipment            |                    |                    |                     | 35,470             | 35,470             |                     |
| Budgeted accounts    | 6,848,582          | 4,256,710          | 2,591,872           | 7,911,424          | 4,932,431          | 2,978,993           |
| Restricted accounts: |                    |                    |                     |                    |                    |                     |
| Private accounts     |                    |                    |                     | 6,878              | 6,878              |                     |
| Federal accounts     | 506,250            |                    | 506,250             | 20,633             | 20,633             |                     |
| <b>Totals</b>        | <b>\$7,354,832</b> | <b>\$4,256,710</b> | <b>\$3,098,122</b>  | <b>\$7,938,935</b> | <b>\$4,959,942</b> | <b>\$2,978,993</b>  |

Personal services represented approximately 52 and 51 percent of the Board's General Fund budgeted account expenditures during the respective audited fiscal years. The 1999-2000 fiscal year

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increase in personal services expenditures of \$485,616, or about 14 percent, was attributable to general wage increases as well as to increased staffing levels as shown in the schedule of filled positions below.

|           | <u>As of June 30,</u> |             |
|-----------|-----------------------|-------------|
|           | <u>1999</u>           | <u>2000</u> |
| Full-time | 71                    | 75          |
| Part-time | 1                     | 2           |
| Temporary | <u>1</u>              | <u>5</u>    |
| Total     | <u>73</u>             | <u>82</u>   |

The Board expended a significant amount of its General Fund budgeted account expenditures for parolee related services such as housing, treatment and other support programs. During the 1998-1999 fiscal year, the Board also administered a Federal grant that was received from the State Office of Policy and Management that was used for half way housing provided through the Department of Correction. In the 1999-2000 fiscal year, coding changes for parolee support services resulted in significant fluctuations in expenditure levels of contractual, sundry and grant expenditures as shown in the schedule above. The majority of parolee related services were obtained from established programs operated or provided by other State agencies as shown below.

|                             | <u>Fiscal Year Ended June 30</u> |                    |
|-----------------------------|----------------------------------|--------------------|
|                             | <u>1999</u>                      | <u>2000</u>        |
| Judicial Department         | \$1,575,622                      | \$1,887,526        |
| UConn Health Center         | 650,000                          | 754,650            |
| The Connection Inc.         | 310,000                          | 310,000            |
| Department of Corrections   | 56,250                           |                    |
| Electronic Monitoring, Inc. |                                  | <u>26,817</u>      |
| Total Budgeted Accounts     | 2,591,872                        | 2,978,993          |
| Federal grants:             |                                  |                    |
| Department of Correction    | <u>506,250</u>                   |                    |
| Total                       | <u>\$3,098,122</u>               | <u>\$2,978,993</u> |

**PROGRAM EVALUATION:**

Section 2-90 of the General Statutes authorizes the Auditors of Public Accounts to perform program evaluations. Section 54-124a (e) of the General Statutes provides for panels of three Parole Board members to be the paroling authority at parole hearings. During the audited period, the Board of Parole and the Department of Correction coordinated their efforts to install video conferencing equipment to be used for parole hearings and other administrative purposes. We have selected to perform a program evaluation of the implementation of video conferencing with the objective of determining how this change has affected Board operations.

In November 1999, the Board purchased its first video conferencing system for its New Haven District Office. In December 2000, a second video conferencing system was installed at its new central office facility in Waterbury. The cost to purchase both of these video systems was

approximately \$20,000, with installation. As of May 1, 2001, the Department of Correction had installed video conferencing equipment at five facilities including the Walens Ridge Facility in Virginia.

Video conferencing has greatly enhanced the Board's ability to conduct parole hearings. In addition to being able to conduct multiple hearings at different locations, the system has greatly improved security-related issues. Security concerns over potential parolees, including transportation, have been eliminated since the parolees are interviewed at the correctional facility in which they are incarcerated. With the implementation of a second video system by the Board, security concerns over victims and parolee family members and friends attending parole hearings have been eliminated since these parties can be separate by attending hearings at two different locations. Video conferencing has also eliminated the need for these parties to attend hearings at correctional facilities.

In addition to parole hearings, the video conferencing system is used routinely by hearing officers to interview potential parolees for case review. The video systems are also used for interviewing and orientation of parolees prior to their release. In addition, video conferencing has been used to conduct training that has included substance abuse seminars conducted by the University of Connecticut Health Center and a number of programs from the New York Correctional System.

On May 1, 2001, we attended a parole hearing and found that the video conferencing system integrated well with the parole hearing process and that the quality of transmission was excellent. The Board's future plan includes the installation of video conferencing at the remaining three district offices which includes the Waterbury District Office scheduled to open in July 2001. The Board has successfully enhanced their operations and improved economy and efficiency through the implementation of video conferencing.

**CONDITION OF RECORDS**

Our examination of the records of the Board of Parole for the fiscal years ended June 30, 1999 and 2000 disclosed no matters requiring Agency attention.

**RECOMMENDATIONS**

Our prior examination of the Board for the fiscal years ended June 30, 1997 and 1998, contained no recommendations affecting the Board's operations. Our current examination of the Board of Parole's financial records for the fiscal years ended June 30, 1999 and 2000 also resulted in no matters requiring Agency attention.

## INDEPENDENT AUDITORS' CERTIFICATION

As required by Section 2-90 of the General Statutes we have audited the books and accounts of the Board of Parole for the fiscal years ended June 30, 1999 and 2000. This audit was primarily limited to performing tests of the Agency's compliance with certain provisions of laws, regulations, contracts and grants, and to understanding and evaluating the effectiveness of the Agency's internal control policies and procedures for ensuring that (1) the provisions of certain laws, regulations, contracts and grants applicable to the Agency are complied with, (2) the financial transactions of the Agency are properly recorded, processed, summarized and reported on consistent with management's authorization, and (3) the assets of the Agency are safeguarded against loss or unauthorized use. The financial statement audits of the Board of Parole for the fiscal years ended June 30, 1999 and 2000, are included as a part of our Statewide Single Audits of the State of Connecticut for those fiscal years.

We conducted our audit in accordance with generally accepted auditing standards and the standards applicable to financial-related audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the Board of Parole complied in all material or significant respects with the provisions of certain laws, regulations, contracts and grants and to obtain a sufficient understanding of the internal control to plan the audit and determine the nature, timing and extent of tests to be performed during the conduct of the audit.

### **Compliance:**

Compliance with the requirements of laws, regulations, contracts and grants applicable to the Board of Parole is the responsibility of the Board of Parole's management. As part of obtaining reasonable assurance about whether the Agency complied with laws, regulations, contracts and grants, noncompliance with which could result in significant unauthorized, illegal, irregular or unsafe transactions or could have a direct and material effect on the results of the Agency's financial operations for the fiscal years ended June 30, 1999 and 2000, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grants. However, providing an opinion on compliance with these provisions was not an objective of our audit, and accordingly, we do not express such an opinion.

The results of our tests disclosed no instances of noncompliance that are required to be reported under *Government Auditing Standards*.

### **Internal Control over Financial Operations, Safeguarding of Assets and Compliance:**

The management of the Board of Parole is responsible for establishing and maintaining effective internal control over its financial operations, safeguarding of assets, and compliance with the requirements of laws, regulations, contracts and grants applicable to the Agency. In planning and performing our audit, we considered the Agency's internal control over its financial operations, safeguarding of assets, and compliance with requirements that could have a material or significant effect on the Agency's financial operations in order to determine our auditing procedures for the purpose of evaluating the Board of Parole's financial operations, safeguarding

of assets, and compliance with certain provisions of laws, regulations, contracts and grants, and not to provide assurance on the internal control over those control objectives.

Our consideration of the internal control over the Agency's financial operations and over compliance would not necessarily disclose all matters in the internal control that might be material or significant weaknesses. A material or significant weakness is a condition in which the design or operation of one or more of the internal control components does not reduce to a relatively low level the risk that noncompliance with certain provisions of laws, regulations, contracts, and grants or failure to safeguard assets that would be material in relation to the Agency's financial operations or noncompliance which could result in significant unauthorized, illegal, irregular or unsafe transactions to the Agency being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. We noted no matters involving internal control that we consider to be material or significant weaknesses.

This report is intended for the Governor, the State Comptroller, the Appropriations Committee of the General Assembly and the Legislative Committee on Program Review and Investigations. However, this report is a matter of public record and its distribution is not limited.

**CONCLUSION**

We wish to express our appreciation for the cooperation and courtesies extended to our representatives by the personnel of the Board of Parole during this examination.

Anthony Turko  
Principal Auditor

Approved:

Kevin P. Johnston  
Auditor of Public Accounts

Robert G. Jaekle  
Auditor of Public Accounts