

STATE OF NEW YORK
DEPARTMENT OF STATE

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SECRETARY OF STATE

October 27, 2023

Bob Mainello
Audit Manager
New York State Comptroller
110 State Street
Albany, NY 12236

Re: Audit Report 2023-F-20

Dear Mr. Mainello:

This letter is in response to the Office of the State Comptroller's (OSC) report 2023-F-20, dated September 29, 2023, detailing the follow up actions taken by officials of the Department of State (Department) to implement the recommendations contained in prior audit report *Implementation of the Security Guard Act* (Report 2019-S-42).

Overall, the Department agrees with the conclusions and status of audit recommendations reported by OSC. We appreciate OSC's recognition of the efforts taken by the Department's Division of Licensing Services (Division) to fully implement three recommendations and the progress toward fully implementing the remaining recommendation. The Division is committed to continuing the processes established in response to the audit and will continue to work with its external partners to fully implement the remaining recommendation. We appreciated the opportunity to work with OSC's auditors during this review.

Recommendation 1: "Develop processes to effectively monitor and review training records, especially for armed security guards classified as peace/police officers, to ensure these guards are in compliance with the Act."

OSC Status Determination: Implemented

Department of State Response: The Department agrees this recommendation has been implemented and will continue to follow its processes for effectively monitoring and reviewing training records.

Recommendation 2: "Enhance current procedures for reviewing arrest notifications of registered security guards, including a clearly defined process for following criminal cases and taking action against security guards charged with serious offenses."

OSC Status Determination: Implemented

Department of State Response: The Department agrees this recommendation has been implemented and will continue to follow its process for reviewing arrest notifications of registered security guards, following criminal cases, and taking action against security guards charged with serious offenses.

Recommendation 3: “Implement a process to notify DCJS of inactive security guards and applicants denied security guard registrations pursuant to the agreement between the Department and DCJS.”

OSC Status Determination: Partially Implemented

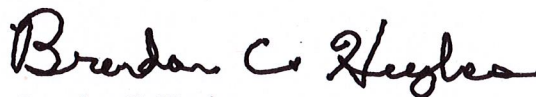
Department of State Response: The Department agrees this recommendation has been partially implemented. The Department appreciates OSC recognized its efforts to work with ITS to develop a system that will notify DCJS of inactive or denied security guard applicants. The Department will continue to work with its partners toward implementing this system and will dedicate resources to accomplish needed tasks.

Recommendation 4: “Enhance current renewal application policies and procedures to ensure consistency in processing security guard renewal applications.”

OSC Status Determination: Implemented

Department of State Response: The Department agrees this recommendation has been implemented and will continue to follow its renewal application process to ensure consistency in processing security guard renewal applications.

Respectfully,

A handwritten signature in black ink that reads "Brendan C. Hughes". The signature is written in a cursive style with a large initial "B".

Brendan C. Hughes
Executive Deputy Secretary of State