
Executive Summary

The Department of Fish, Wildlife and Parks (FWP) operates the Automated Licensing System (ALS) to support licensing operations. System implementation began in 2002 and was completed in 2004. In 2002, we performed a limited scope audit of ALS operations (02DP-07) in support of financial compliance auditors.

The scope of this audit was comprised of four primary objective areas including: determining whether access controls exist to prevent excessive user access privileges, determining whether license fee amounts are accurate according to state law, determining whether the drawing process controls facilitate a random drawing, and determining whether controls exist over the license revenue collection process. Audit work included interviews and observations with FWP personnel, review of reports for appropriateness of user access and accuracy of license fee amounts, and analysis of data generated by the random drawing process to verify that was random.

We determined that license fee amounts in the ALS database were accurate and that each license drawing application entry has an equal chance of being selected. We also determined that excessive user access privileges exist in the database, and that documentation and back-up procedures are lacking in the license revenue collection process. These issues are discussed in chapters two and three.