



# MONTANA LEGISLATIVE AUDIT DIVISION

## INFORMATION SYSTEMS AUDIT

# Automated Licensing System: Review of Select Processing Controls

Department of Fish, Wildlife and Parks

NOVEMBER 2009

09DP-09

REPORT SUMMARY

Considering hunting and fishing are important cultural aspects of life in Montana and license fees are an important source of operational revenues for FWP, it is essential ALS accurately process license revenue (fees) and maintain the integrity of licensee information.

### Context

The Automated Licensing System (ALS) facilitates the Department of Fish, Wildlife and Parks (FWP) hunting, fishing, and recreational license issuance process. ALS also aides FWP in conducting license drawings, supports administrative business functions related to licensing, and provides data which assists with the enforcement of hunting and fishing regulations. In fiscal year 2004, approximately \$37 million in license fee revenues was processed through ALS. This has increased through fiscal year 2009 as license fee revenues processed through ALS reached just under \$45.6 million.

### Results

Information system processing controls ensure complete and accurate processing of data from input to output. Audit work was conducted to ensure specific ALS processing controls function as FWP management intends. Additionally, information systems are generally a dynamic and fluidly changing environment. Data can be modified and programming code updated to reflect the changing needs of an organization or to remediate flaws. We reviewed procedures in place to ensure FWP controls changes to ALS. Finally, agencies are responsible for maintaining information system availability in the event of a

disaster or major outage. To mitigate the damage resulting from disruptions, agencies need to implement a disaster recovery plan. Our audit reviewed why FWP does not maintain an up-to-date disaster recovery plan for ALS.

Overall, we conclude ALS processing controls are functioning as management intends. However, we identified areas where FWP can improve controls around ALS including more effectively identifying deceased licensees, preventing and detecting unauthorized changes to programming code and database tables, and better preparing for the continuity of licensing operations. This report discusses our findings and includes four recommendations for strengthening processing and change controls and maintaining an up-to-date disaster recovery plan.

Recommendation Concurrency	
Concur	4
Partially Concur	0
Do Not Concur	0
Source: Agency audit response included in final report.	

For a complete copy of the report or for further information, contact the Legislative Audit Division at 406-444-3122; e-mail to [lad@mt.gov](mailto:lad@mt.gov); or check the website at <http://leg.mt.gov/audit>. Report Fraud, Waste, and Abuse to the Legislative Auditor's FRAUD HOTLINE Call toll-free 1-800-222-4446, or e-mail [lad@mt.gov](mailto:lad@mt.gov).