

Department of Education
Office of Inspector General – Internal Audit
Six Month Status Report on: Division of Innovation and Technology
Report #A-1617-028 Issued: January 19, 2018
Status as of July 19, 2018

Finding	Recommendation(s)	Management Response as of January 19, 2018	Management Response as of July 19, 2018	Anticipated Completion Date & Contact
<p>EIAS does not have internal controls to view user or system activity.</p>	<p>We recommend EIAS develop and implement user access controls for tracking user activity. These policies should include, but not be limited to, establishing and documenting policies for logging of audit records. The logs should support the unique identification of individuals and permit an audit of the logs to trace activities through the system, including the capability to determine the exact confidential or exempt data accessed, acquired, viewed, or transmitted by the individual.</p>	<p>Back in 2010, the department started the process of migrating student data collection and processing processes off of the mainframe with the acquisition of SLDS grant. A key goal of SLDS grant was to utilize more current processing methodologies and technical approaches for the source data systems so they can remain compatible with EDW. With this in mind, the department has built a Data Quality preflight system to allow districts to submit and process their student data within an auditable and secured server environment.</p> <p>Anticipated Completion Date: June 2021</p>	<p>DTI has begun initial work to develop an action plan for getting off the mainframe.</p>	<p>June 2021 Antionette Williams</p>

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<p>EIAS does not have documented policies and procedures for overriding system edits when processing additional or corrective files after the end of a survey period.</p>	<p>We recommend EIAS establish documented policies and procedures for overriding system edits when processing additional or corrective files after the end of a survey period.</p>	<p>EIAS will develop policies and procedures for overriding systems edits.</p> <p>Anticipated Completion Date: April 1, 2018</p>	<p>DTI has developed and Approved Application Changes, Data Request, and Overrides User Manual</p> <p>DTI Reviewed Survey Override Process document with business unit on June 4, 2018.</p>	<p>Completed 5-29-18 Antionette Williams</p>
<p>DTI does not have an established Disaster Recovery Plan to restore time sensitive data.</p>	<p>We recommend DTI establish a documented Disaster Recovery Plan to ensure data restoration in a timely manner in the event of a disaster, faulty equipment, etc. These plans should include, but not be limited to, identifying the mission critical IT systems requiring priority DR services, developing a documented and tested DR plan, and</p>	<p>In the 2014 legislative session, the department was directed to contract with an independent third party consulting firm to complete a study of the department’s current disaster recovery plan for its applications and systems supported by the NWRDC. This study was completed by statutory due date of October 2016. However, the funds for implementing disaster recovery plan were released on July 1,</p>	<p>The Draft Disaster Recovery Plan has been developed and submitted for review. NWRDC is building out infrastructure based upon FDOE approved NWRDC Project Charters. Anticipated completion of the NWRDC infrastructure build to support the DR plan: July, 2018.</p>	<p>June 31, 2019 Antionette Williams</p>

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	<p>identifying recovery steps to perform once customer systems are operational.</p>	<p>2017 and the department started implementing the disaster recovery plan. Anticipated Completion Date: June 30, 2019</p>	<p>Project Meetings with the Northwest Regional Data Center indicates project is proceeding on time. All Software and Hardware have been ordered and some items have been received. Hardware was relocated to Atlanta on 5/26/18. NWRDC indicates network design is complete. Network Design review meeting scheduled.</p>	