Department of Education
Office of Inspector General – Internal Audit
12 Month Status Report on: Division of Innovation and Technology
Report #A-1617-028 Issued: January 11, 2018
Status as of December 21, 2018

Finding	Recommendation(s)	Previous Management Response	Management Response as of December 21, 2018	Anticipated Completion Date & Contact
EIAS does not have internal controls to view user or system activity.	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.	**Management Response as of January 11, 2018** 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. *Anticipated Completion Date: June 2021*	In regards to the Mainframe Migration, the following activities have occurred: **1. K12- Secondary CTE Survey Process** • The K12-Secondary CTE System has been migrated off the mainframe as of August 28, 2018. The migration included all CTE mainframe processes, screens, and reports. **2**. **Class Size** • The class size system has been migrated off the mainframe as of September 1, 2018. The migration included migrating a web application and DB2 database and several batch processes off the mainframe. **3. FTE**	June 2021

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		Management Response as of July 3, 2018 DTI has begun initial work to develop an action plan for getting off the mainframe. *Anticipated Completion Date: June 2021*	• DTI is currently in the early stages of gathering requirements and designing mock-ups for the rewrite of the FTE process. **4. K12- Staff Survey Processes** • DTI is currently in the development stage of migrating the staff survey process off the mainframe. Current tasks include: rewriting of all staff batch processes, reports and screens into the DQ2 system. Implementation is scheduled for the middle of next year. **5. Reference Table Project** • DTI is in the process of migrating all reference tables that reside on DB2 database on the mainframe to our new 2017 SQL server environment.	

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DTI does not have an established Disaster Recovery Plan to restore time sensitive data.	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 identifying recovery steps to perform once customer systems are operational.	**Management Response as of January 11, 2018** 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, 2017 and the department started implementing the disaster recovery plan. *Anticipated Completion Date: June 30, 2019* **Management Response**	FLDOE developed a Disaster Recovery Plan (DRP), which was approved on 7-17-18, see **Attachment "A"**. NWRDC was identified as the vendor to provide disaster recovery services to FLDOE. In coordination with NWRDC, Project Charters were developed to cover the development of three areas of the DR plan (Backup as a Service (Baas) including: Replication of Backups, Application Server Replication, and Database Server Replication). Implementation of DR services at NWRDC is underway. Project meetings	June 30, 2019. The outcome is: The Disaster Recovery Plan will be implemented.

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		as of July 3, 2018 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. 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. *Anticipated Completion Date:*	with NWRDC indicates project is proceeding. All software and hardware have been ordered and all items have been received. Hardware was relocated to Atlanta in May 2018. • NWRDC indicates build out of infrastructure based upon DOE approved NWRDC Project Charters was completed in July 2018. • NWRDC indicates network design is complete. • Backup as a Service (Baas) including Replication of Backups is completed and tested.	

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		June 31, 2019	• Application Server Replication is completed and planning for testing is underway. See **Attachment "B"** • Database Replication is in Process See **Attachment "C'"** (estimated completion 1/31/19).	