



MEMORANDUM

Legislative Post Audit

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TO: Members, Legislative Post Audit Committee
FROM: Katrin Osterhaus, IT Audit Manager
DATE: April 25, 2023
SUBJECT: Automated Biometric Identification System ABIS IT Project - Update

Our primary aim in monitoring IT projects is to identify when a project is at risk of failure due to scope, schedule, cost, or quality problems. By communicating our concerns to the agency, legislators, and other stakeholders we hope to help improve the project's health. Our secondary objective is to evaluate whether monitored IT projects have adequately planned for security controls.

We have monitored the Kansas Bureau of Investigation's Automated Biometric Identification System (ABIS) project since January 2020. KBI signed a separate contract with "Mission Critical Partners (MCP)" for periodic Independent Verification & Validation (IV&V). This update summarizes the main findings from the IV&V report covering the October 1 – December 31, 2022 period.

Project Scope is in Satisfactory status.

To complete the ABIS project, KBI entered into a contract with IDEMIA. The contract contains the detailed scope for the project. During 4th quarter 2022 reporting period, MCP identified scope size, requirements, and change control management elements as low risk.

Project Cost is in Satisfactory status.

The original project budget is set at approximately \$5.5 million. This includes the IDEMIA and MCP contract, as well as other internal costs (e. g. project manager, hardware platform, and KITO fees). The contract has an 18-month warranty from the time the system is deployed. After the warranty period, the contract allows KBI to get maintenance support for about \$100,000 a year for up to 15 years.

During this reporting period, MCP again categorized 4 cost criteria risks as low. Cost control risks were rated as 'low' based on clear contract terms, smooth billing and remittance processes between KBI and IDEMIA, and MCP's validation of financial controls. During this period, KBI reallocated funding within the project budget to cover ongoing contracted KBI project manager costs through August 2023. This reduced a risk identified in the previous quarter related to project manager commitment. Lastly, the report notes the budget will need to be increased to cover the reallocated funds and additional quarterly IV&V (and KITO) costs because of the anticipated project schedule extension.

Project Quality (security, management, oversight) is in Caution status.

The project included security and governance requirements for the system. We are not aware of any changes that would affect the security planning of the project.

The 4th quarter MCP report noted several quality-related issues similar to the previous quarter, as follows:

- Project manager authority and project management approach received high risk ratings. IDEMIA's project manager uses an agile staffing approach, which increases the risk of unfamiliar staff working on this project. The project management approach risk remains elevated, but MCP noted improvements with collaboration, coordination, and preparing for and conducting consistent team meetings between KBI and IDEMIA.
- Intergroup coordination, user communication, and user preparation elements received high risk rankings. KBI implemented a document collaboration sharing repository for external stakeholders. This requires the project manager to duplicate files from the agency's internal SharePoint process. Not all project artifacts were available to IDEMIA and MCP contractors on the external file sharing repository. MCP was unable to evaluate certain project documents despite requests, which prompted a planned site visit for the first quarter, 2023. Additionally, users reported not being sufficiently involved with, or aware of, updates to certain project documents. MPC also noted little progress or interaction between users and IDEMIA during the reporting period, based on MPC interviews. KBI staff acknowledged users may have felt left out. However, they explained that weekly meetings with all project participants should clarify everyone's part in the project, including not much for business users to do while technical documents were being developed. Lastly, KBI made little progress to outline and prepare certain user groups for upcoming changes in their daily workflows.
- Technical documentation and hardware implementation received high risk ratings. As noted in MCP's previous report, technical documentation continued to be problematic in the 4th quarter, creating frustration among stakeholders. That's because KBI and IDEMIA did not implement a standard process for developing, reviewing, and completing deliverables. Many of the deliverables are now in development while documentation continues to be refined. During this reporting period, MCP noted a potential contract deviation in disaster recovery (DR) for the ABIS project. The contract calls an operational DR site. However, it appears disaster recovery work so far only supports data replication, not the ability to continue fingerprinting operations, even on a limited basis.

Project Schedule is in Caution status.

The contract with IDEMIA was signed July 2021, to continue through January 2023. Due to continued delays in the first part of 2022, the project schedule was extended by nine months to September 2023. However, the project did not stay on the revised schedule. KBI and IDEMIA agreed to another revision, in part due to the contractors' inaccurate understanding and portrayal of work hours in the "Work Breakdown Schedule" (a key project document to create milestones and project completion

dates). The schedule changes were not completed as of the end of the 4th quarter. Recast schedule information is supposed to be completed in the following quarter. Thus, there was no new documented completion date target yet. MCP also noted that IDEMIA resources were very limited during the reporting period, which slowed task completion. Resource issues and an unreliable project schedule continued to be key concerns for the project and likely affect the project's cost and quality negatively.

The 4th quarter IV&V report itself was not finalized until March 8, 2023 (though a draft report was shared with KBI in February). This is improved from IV&V report delays noted for the 3rd quarter. KBI and MCP officials met in January and agreed on several mitigation strategies to help MCP come into contract compliance for more timely reports going forward.

Recommendations

MCP continued all 6 recommendations from the 3rd quarter 2022 report. Those addressed (1) working on a more useful method to manage scarce team member resources, (2) prioritizing and executing project schedule updates, (3) developing a regular user communication process, (4) developing an acceptance testing resource plan, (5) setting up weekly small team checkpoint meetings between KBI and IDEMIA to evaluate progress, address questions, and promote collaboration, and (6) creating a standard process to develop, review, and complete key deliverables.

The 4th quarter report included 2 new recommendations: First, KBI should consider using visual representations of progress across project workstreams. That's because the cost and schedule performance indices KBI developed and included in periodic team documents didn't accurately convey the status of the project. Second, KBI should follow up on the planned design and capabilities of the ABIS disaster recovery site.