MEMORANDUM

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TO: Members, Legislative Post Audit Committee
FROM: Katrin Osterhaus, IT Audit Manager
DATE: February 15, 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 July 1 – September 30, 2022 period. This report was significantly overdue, as will be discussed in the Project Schedule section.

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. The scope size and requirements elements remained at no/low risk.

Project Cost is in Satisfactory status.

The original project budget was 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 project has successfully exercised two change orders to date, one of which reduced the project cost by about $330,000.

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 categorized 4 cost criteria as low (4). One increased risk related to project cost is the exhaustion of the KBI project manager budget allocation. That's due to that staff working full-time, rather than half-time, on the project.

Project Quality is in Caution status.

The 3rd quarter MCP report noted several quality related issues similar to the previous quarter, as follows:

- *Several project management and oversight elements had high risk ratings.* IDEMIA has reportedly moved KBI's project up on its priority list. However, IDEMIA's project manager continued to struggle with sufficient staff during the reporting period. Both IDEMIA and KBI staff reported being frustrated with coordination and collaboration. Additionally, staff continued to note problems with scheduling meetings (e.g. advance calendaring, published agendas or minutes). MPC noted slight improvements with scheduling, documentation updates, and tracking completed tasks, but identified the 'project management relationship' element as a high risk.

- *Several project engagement elements had high risk rankings.* During this reporting period, MPC noted continued issues with users not understanding the project status and where their work fits in. Documents like newsletters or FAQs to help communication about the project were lacking. The report also noted some KBI staff did not have access to project documents, limiting their insight. According to the report, the project has not shown much progress to address upcoming workflow changes for two KBI sections that will be affected by the new system.

- Technical documentation activities remain a risk for the project. According to the report, that's because KBI and IDEMIA did not implement a standard process for developing, reviewing, and completing those documents. Many of the deliverables are now are in development while documentation isn't yet finalized.

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 in the previous reporting period.

Although metrics were established during the 3rd quarter, the MCP report noted continued schedule concerns. This includes another 10% slippage, potentially due to the schedule not tracking to the workplan or other schedule accuracy issues. Lastly, insufficient resources (lack of experienced and consistent contract staff and previous KBI turnover) continues to be a top risk for the project which contributes to delays in the schedule.

LPA Note: The 3rd quarter IV&V report itself was not finalized until January 23, 2023. This roughly 3-month delay occurred because necessary interviews were not scheduled timely, and several additional scheduling conflicts on both sides delayed the completion of the draft report to December 21, 2022. Lastly, discussions on the draft were not held until January 10, 2023 to produce the final report.

3rd party monitoring processes help alert project stakeholders to issues or problems they may not recognize because they are too involved with day-to-day activities. When monitoring reports are not timely, they lose their effectiveness. Officials from KBI and MCP met in January and agreed on several mitigation strategies to avoid similar schedule delays. These strategies should help MCP come into contract compliance going forward.

Recommendations

Because the next IV&V report for the period of October 1 through December 31, 2022 is scheduled to be published soon, we did not summarize recommendations from this 3rd quarter report.