



KANSAS LEGISLATIVE
DIVISION of
POST AUDIT

The Rundown podcast transcript for IT Project Monitoring Reported titled ***Kansas Bureau of Investigation ABIS Project (Quarter Ending March 31, 2020)*** – Released June 2020

Andy Brienzo, Host and Principal Auditor: [00:00]

From the Kansas Legislative Division of Post Audit. This is the Rundown. Your source for news and updates from LPA including performance audits recently released to the Kansas Legislature. I'm Andy Brienzo. In April 2020, Legislative Post Audit released a project monitoring report tracking the Kansas Bureau of investigation's progress in implementing its new fingerprint identification system due to the ongoing COVID-19 pandemic. I'm joined remotely by Sagar Bhatia, senior IT auditor, at Legislative Post Audit who conducted this audit. Welcome to the rundown Sagar. Before we discuss the report's findings, why don't you just take a minute to talk me through how this work is different from a regular performance or IT security audit?

Sagar Bhatia, Senior IT Auditor and Supervisor: [00:10]

Glad to be here.

Andy Brienzo, Host and Principal Auditor: [00:42]

Before we discuss the report's findings, why don't you just take a minute to talk me through how this work is different from a regular performance or IT security audit?

Sagar Bhatia, Senior IT Auditor and Supervisor: [00:52]

The major differences that our project monitoring work is ongoing and takes place as the project has been executed. On the other hand, our typical audits evaluate how an agency performed after the fact. The Legislature authorized us to do this monitoring work because they were frustrated with so many IT projects going over budget or time or simply not delivering on what was envisioned. So, we select and monitor high-risk projects as they are built. Our goal is to identify as early as possible when a project is at risk of failure, due to the scope, schedule, or cost problems. We also added whether IT projects are adequately planned to include important security controls.

Andy Brienzo, Principal Auditor and Supervisor: [01:34]

Now this report focuses on the KBI's project to replace its current fingerprint identification system with a new one. Take a minute to walk me through with this project is and how the new system compares to the agency's current system.

Sagar Bhatia, Senior IT Auditor and Supervisor: [01:50]

By law, KBI is responsible to maintain the automated fingerprint identification system. As the name suggests, the system collects, stores, and compares fingerprint records and this is collected to various federal databases and used by criminal justice agencies to catch the bad guys, so to speak. In addition, many of the state agencies as well as private entities use a fingerprint system, for example, to perform background checks on their prospective new hires or something else. The state's current system is quite old. It was last refreshed in 2012. Its hardware and software cannot be uploaded anymore, and the maintenance contract cannot be extended beyond the year 2022. Moreover, the system does not meet current information security standards, so KBI had started to plan for a replacement project. One that includes traditional fingerprints as well as other biometric features such as iris scanning and facial recognition.

Andy Brienzo, Principal Auditor and Supervisor: [02:50]

When do KBI officials expect the new system to be completed?

Sagar Bhatia, Senior IT Auditor and Supervisor: [02:54]

As of February [2020], KBI expected to award the contract for the ABIS project in July 2020 and have the new system deployed by December 2022.

Andy Brienzo, Principal Auditor and Supervisor: [03:04]

Overall, it looks like you found the project status to be satisfactory. What work did you do to reach this conclusion?

Sagar Bhatia, Senior IT Auditor and Supervisor: [03:11]

That is the conclusion because as the quarter ending March 31st, 2020, we found the project's state of scope, cost, schedule, and security to be satisfactory. Let me briefly walk you through the four areas we monitored. First, SCOPE. In October 2019, agency officials performed an internal feasibility study for the project and developed the high-level scope and plan. In late January 2020, agency [officials] brought in outside consultants who helped design and refine the requirements for the ABIS project. They estimate this planning project will be completed by April of 2020. The feasibility report and refin[ing] of the requirements will lock in the scope of the project. Second, SCHEDULE. The planning project is on track to be finished in the next quarter and as mentioned earlier, KBI plans to have the project contracted out this summer [2020] and have the new system deployed by December 2022. That's crucial since the current FS (Fingerprints) system will essentially reach its end of life at that point. Third, COST. As of March 31, the cost of planning the project is on track and based on what we saw in the project documents, we found the agencies [will] develop a more precise cost estimate for the main ABIS project as satisfactory. We learned that the agency didn't yet have the funding secured for the main project as of February [2020]. The plan was to submit a budget enhancement request based on that cost estimate to the Legislature. Lastly, the SECURITY plan. We found that KBI staff have done a good job in thinking about and planning for various security requirements. We can say that based on having reviewed the feasibility study report and being part

of the planning project during this quarter.

Andy Brienzo, Principal Auditor and Supervisor: [05:02]

Why don't you take a minute to just tell me a little bit more about the potential schedule and cost issues that you outlined in the report?

Sagar Bhatia, Senior IT Auditor and Supervisor: [05:10]

Yeah, sure. As I mentioned earlier, agency officials intend to submit a budget enhancement request. Once the more precise cost estimate for the main project was finalized. However, the current dynamic has limited the regular legislative budget approval process. Our concern is that this could jeopardize the funding approval for the project. Without funding, of course, that in turn can put the plan schedule of this important project at risk.

Andy Brienzo, Principal Auditor and Supervisor: [05:38]

Finally, what's the main takeaway of this report?

Sagar Bhatia, Senior IT Auditor and Supervisor: [05:42]

The main takeaway of this report for all our listeners is that the project is on track so far. But as mentioned earlier, our work here continues. We see some potential issues coming up in the next quarter and will even have more to report in the future as this project picks up more steam.

Andy Brienzo, Principal Auditor and Supervisor: [05:58]

Sagar Bhatia is a senior IT auditor at Legislative Post Audit. He completed an audit tracking the Kansas Bureau of Investigation's progress in implementing its new fingerprint identification system. Thank you for taking the time to walk me through your findings today.

Sagar Bhatia, Senior IT Auditor and Supervisor: [06:14]

Thanks for having me.

Andy Brienzo, Principal Auditor and Supervisor: [06:17]

Thank you for listening to The Rundown. To hear more podcasts, subscribe on Spotify or Apple podcasts. For more information about Legislative Post Audit and our audit reports, visit our website at kslpa.org and follow us on Twitter @ksaudit.

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