



MEMORANDUM

Legislative Post Audit

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TO: Members, Legislative Post Audit Committee
FROM: Katrin Osterhaus, IT Audit Manager
DATE: July 6, 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 January 1 – March 31, 2023 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. MCP again identified scope size, requirements, and change control management elements as low risk in this latest report.

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 Kansas Information Technology Office 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. KBI has reallocated funding within the project budget to cover ongoing KBI project manager costs through August 2023 in the previous quarter. An additional budget increase will be necessary to pay for at least two more IV&V reports because the project is running behind. KBI officials believe the project will remain on budget.

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 1st quarter 2023 report noted several quality-related issues similar to the previous quarter, as follows:

- *Project manager authority and project management approach again received high risk ratings.* IDEMIA's project manager is able to set priorities, but has no authority to commit resources. During this reporting period, the availability of IDEMIA engineers was reported as an issue. Previous reports of unnecessary delays from both KBI and IDEMIA remained an issue in this quarter. This included inadequate coordination and meeting preparedness.
- *Intergroup coordination and user communication again received high risk rankings.* KBI uses a document collaboration sharing repository for external stakeholders. This requires the KBI project manager to duplicate files from the agency's internal SharePoint process. But not all project documents were available to IDEMIA and MCP contractors on the external file sharing repository. The project manager updated several files late in the quarter. This helped MCP gain insight on key project documents. Users reported little to no communication about the project outside of weekly project meetings. During those meetings, staff discuss progress by sharing milestone and percentage of completion reports for deliverables. But business and technical users could not articulate progress. MCP reported a continued need for a visual representation of progress across workstreams.
- *Technical documentation again received high risk ratings.* 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. IDEMIA's site visit in March 2023 resulted in modest progress on several key project documents. But none of them were finalized yet. KBI reported frustration about IDEMIA seeking changes on previously approved items in the interface control documents. This may indicate that improper IDEMIA resources were involved when those documents were first created. IDEMIA expressed frustration about the KBI executive management requiring more technical detail than IDEMIA generally provides (and despite KBI subject matter experts approving less detailed documentation). MCP commented that KBI management's expectation for more detail was reasonable, based on other industry projects they've monitored. Stakeholders noted the systems design document will likely continue to change up until go-live date.

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. Those schedule changes were

completed at the end of the 1st quarter 2023 and show the new completion target date of October 8, 2023. KBI sent the revisions to the Kansas Information Technology Office at the end of the quarter. Because KITO did not yet approve the changes, the project schedule remains behind and in caution status. Schedule slippage is also noted in other areas of the report. For example, electronic data conversion, scheduled to begin in July 2022, hadn't yet started. And the acceptance test plan remains unfinalized at the end of this quarter.

MCP also noted that the IDEMIA engineer responsible for the Migration Plan has left effective March 31. This likely will delay finalizing the plan as the new engineer comes up to speed on the project. The IDEMIA project manager reported to be available 70% of the time this quarter. The slow progress does not appear to require his full attention. However, because he spends his remaining time on other projects, KBI staff may perceive the project manager not to be fully dedicated to this project. However, various key project documents did not get finalized this quarter.

Recommendations

MCP continued all 8 recommendations from the 4th quarter 2022 report. They are listed below:

- (1) KBI and IDEMIA should work toward a more useful method of managing and optimizing the use of scarce team member resources,
- (2) KBI and IDEMIA should prioritize and execute project schedule updates,
- (3) KBI should consider holding back Cost Performance Indices and Schedule Performance Indices from open project team communications,
- (4) Develop and implement a regular user communication process,
- (5) KBI project team should develop an acceptance testing resource plan and address any resource gaps well in advance,
- (6) Set up weekly KBI/IDEMIA small team checkpoint meetings to confirm activities and action item progress, address questions, and promote collaboration,
- (7) KBI should follow up on the planned design and capabilities of the secondary disaster recovery site,
- (8) KBI and IDEMIA should set a standard process for the development, review, and completion of upcoming key deliverables.