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AGENCY REVIEW

INFORMATION SERVICES AND COMMUNICATION DIVISION
DEPARTMENT OF ADMINISTRATION

AUDIT OVERVIEW

The Information Services and Communications Division Is Financially Self-Sufficient in Providing Information Technology Services to State Agencies, and It Has Made Progress Towards Strengthening Its Financial Position

The IS&C Reports a High Level of Customer Satisfaction, but the Performance Evaluation and Research Division Could Not Replicate the Reported Scores Using the Agency's Methodology

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PERFORMANCE EVALUATION & RESEARCH DIVISION

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EXECUTIVE SUMMARY

The Legislative Auditor conducted an Agency Review of the Department of Administration. As part of this process, a performance review of the Office of Technology was conducted pursuant to *West Virginia Code §4-10-8*. Objectives of this audit were to see if the Information Services and Communications (IS&C) performance measure of customer satisfaction reported in the West Virginia annual executive budget is being measured in a way that is accurate, complete, comprehensive, and unbiased; why the Information Services and Communications internal services fund was in a negative position for FY 2013; and whether the current configuration of the Office of Technology and Information Services and Communications conform to applicable provisions of the West Virginia Code of Regulations. The report contains the following issues:

Frequently Use Acronyms in This Report:

IS&C: Information Services and Communications

BTOP: Broadband Technology Opportunities Program

OT: Office of Technology

CFO: Chief Financial Officer

CTO: Chief Technology Officer

DOA: Department of Administration

PERD: Performance Evaluation and Research Division

Report Highlights:

Issue 1: The Information Services and Communications Division Is Financially Self-Sufficient in Providing Information Technology Services to State Agencies, and It Has Made Progress Towards Strengthening Its Financial Position.

- Although the IS&C is financially sufficient, it experienced cash-flow problems and significant drops in its net assets in FY 2010 and FY 2013. In FY 2013, this led to an overall net position of -3.9 million.
- Part of the cash flow problem was caused by delays in receiving certain grant payments and the agency had a high amount of debt service expenses on lease-purchases.
- The agency's financial position has improved in part because it discontinued the practice of using lease-purchases and as a result debt service payments have declined significantly.
- When agencies contest IS&C charges for services, the IS&C should monitor such information to evaluate potential issues.

Issue 2: The IS&C Reports a High Level of Customer Satisfaction, but the Performance Evaluation and Research Division Could Not Replicate the Reported Scores Using the Agency's Methodology.

- The Legislative Auditor calculated customer satisfaction scores based on the methodology provided by the IS&C, and could not replicate the scores reported by the agency in the Executive Budget *Operating Detail* for fiscal years 2010 to 2013.
- There is no formal, standard process for reviewing and following up on complaints. The agency realizes this and is looking for process improvement.

PERD's Response of the Agency's Written Response:

The Board's written response (see Appendix D) indicates that it is in agreement with each of findings from the review.

Recommendations:

1. *The Legislative Auditor recommends that when the IS&C bills for services in the month of June, it should request payment due by July 31st.*

2. *The Legislative Auditor recommends that the IS&C should consider maintaining a database of contested charges.*

3. *The Legislative Auditor recommends that the IS&C should be under the supervision and control of a director who has been appointed by the DOA secretary. If the DOA has established that the IS&C can operate effectively under the supervision of the Office of Technology, then the DOA should seek to amend the enabling statute.*

4. *The Legislative Auditor recommends that the IS&C develop a standardized methodology for documenting customer service scores that can be replicated.*

5. *The Legislative Auditor recommends that the IS&C use the negative survey scores and the comments associated with them by its customers as a means for designing future goals that can be measured, which would reflect agency performance in regards to customer service.*

6. *The Legislative Auditor recommends that the IS&C develop specific open-ended questions with the intention of receiving and measuring all responses in order to create or enhance future agency goals and performance measures.*

7. *The IS&C should consider developing a method that would increase the response rates of its customer surveys.*

8. *The Legislative Auditor recommends that the IS&C discontinue the use of the Bomgar customer exit survey.*

ISSUE 1

The Information Services and Communications Division Is Financially Self-Sufficient in Providing Information Technology Services to State Agencies, and It Has Made Progress Towards Strengthening Its Financial Position.

Issue Summary

The Information Services and Communications Division (IS&C) was established under the Department of Administration to provide reliable, secure and cost-effective services to all agencies across state government. State agencies, boards, commissions and departments pay IS&C for these services. Therefore, PERD reviewed the finances of the IS&C for fiscal years (FY) 2010-2014 to determine its financial sufficiency. PERD found that the IS&C has maintained a positive cash balance each year of between $6 million and $8 million. However, according to the State's Comprehensive Annual Financial Report, the agency has had erratic financial occurrences of relatively large drops in net assets of $3.1 million in 2010 and $10.8 million in 2013. In fact, the 2013 drop placed the agency's overall net position at -$3.9 million. PERD determined that the 2013 decline in net assets was in large part due to delays in grant payments from the Broadband Technology Opportunities Program (BTOP). In addition, the IS&C has strengthened its financial position by reducing capital leases and other debt liabilities. The agency took on a large amount in loans to purchase technology-related equipment. Consequently, the agency had debt service payments of between $4 million and $6 million. However, since the IS&C has avoided entering into new capital leases, these liabilities have been reduced from $17.9 million in FY 2010 to $964,896 in FY 2014.

However, according to the State's Comprehensive Annual Financial Report, the agency has had erratic financial occurrences of relatively large drops in net assets of $3.1 million in 2010 and $10.8 million in 2013. In fact, the 2013 drop placed the agency's overall net position at -$3.9 million.

The IS&C has strengthened its financial position by reducing capital leases and other debt liabilities.

Also, while reviewing the 2013 billing practices of the IS&C, the Legislative Auditor noted the IS&C is not adhering to *West Virginia CSR §161-02-5.2.2* by submitting bills to agencies during the last month of the fiscal year and requesting payment prior to July 31st. The IS&C should also consider maintaining a database of contested charges as a means to evaluate its quality of service. Finally, according to *West Virginia Code §5A-7-3,* the IS&C shall be under the supervision of a director. Since the IS&C director retired in 2008 the IS&C has been functioning under the auspices of the Office of Technology and its Chief Technology Officer (CTO). Therefore, the Legislative Auditor recommends that in order to adhere to West Virginia Code, the IS&C should be under the supervision and control of a director who is appointed by the DOA secretary.

The West Virginia Information Services and Communications Division Is Created to Develop and Improve State Data Processing

The IS&C was established in 1990. According to *West Virginia Code §5A-7-2*, the IS&C was created,

> *"...for the purpose of establishing, developing, and improving data processing and telecommunication functions in the various state agencies, for promulgating standards in the utilization of data processing and telecommunication equipment and for promoting the more effective and efficient operation of all branches of state government."*

The IS&C fully supports 157 departments, agencies, boards and commissions with both data and telecommunication services.

Table 1 shows that the IS&C serves 288 boards, commissions and agencies, many of which are located in state departments. The IS&C also provides training and direct data processing services to the various state departments, boards, commissions and agencies. The IS&C fully supports 157 departments, agencies, boards and commissions with both data and telecommunication services. However, some agencies are not fully supported by all of IS&C's services. These agencies are considered non-supported agencies. For example, the Secretary of State's office does not use the Office of Technology's internet service provider, therefore it is classified as a non-supported agency.

Table 1 Departments, Boards, Commissions and Agencies Serviced by the IS&C	
Departments, Boards, Commissions and Agencies	**Number Served**
Governor's Office	1
Department of Administration	29
Department of Health and Human Resources	64
Department of Environmental Protection	3
Department of Transportation	9
Department of Revenue	9
Department of Education and the Arts	8
Department of Commerce	16
Department of Military Affairs and Public Safety	10
Department of Veteran's Affairs	3
Boards & Commissions-Supported	5
Boards & Commissions-Supported Without Email	4
Boards, Commissions & State Agencies-Non-Supported*	127
Total	**288**

Source: The West Virginia Information Services and Communications Division.

**According to the IS&C non-supported departments, boards or commissions are those that do not utilize all of the services provided by IS&C, such as the IS&C's internet service provider.*

According to West Virginia Code §5A-7-10, the IS&C generates revenue through four funds that include a postage fund, an IS&C revolving fund, a telecommunications service and payment fund, and a gifts, grants and donations fund.

The IS&C Has Maintained a Positive End-Of-Year Cash Balance

According to *West Virginia Code §5A-7-10*, the IS&C generates revenue through four funds that include a postage fund, an IS&C revolving fund, a telecommunications service and payment fund, and a gifts, grants and donations fund. Expenditures for the IS&C consist of payroll expense, office rent and utilities, computer services, payment of uncontested invoices for state spending units telecommunications services, computer software, central mailing office services for state spending units, employee travel, and routine maintenance contracts.

Table 2 demonstrates that since FY 2010 the IS&C has had a positive end-of-year cash balance.

Table 2
IS&C Revenue and Expenditures
FY 2010-2014

Fiscal Year	Beginning-of-Year Cash Balance	Revenue	Expenditures	End-of-Year Cash Balance
2010	$6,234,099	$47,542,054	$47,260,043	$6,516,110
2011	$6,516,109	$78,423,454	$76,085,915	$8,853,648
2012	$8,853,648	$54,289,411	$54,329,192	$8,813,867
2013	$8,813,867	$68,646,765	$69,833,851	$7,626,781
2014	$7,626,781	$85,953,916	$86,326,156	$7,254,541

Source: West Virginia Financial Information Management System FY 2010-2014 and the IS&C.

Delayed Broadband Technology Opportunities Program Grant Payments Contributed to Cash Flow Problems

Although the IS&C is financially sufficient, it experienced cash-flow problems and significant drops in its net assets in FY 2010 and FY 2013. According to the State's Comprehensive Annual Finance Report (CAFR), in FY 2010 the agency's net assets fell by $3.1 million, and in FY 2013 net assets dropped by $10.8 million, which led to an overall net position of -3.9 million. The Office of Technology (OT) CFO provided the following explanation to the cash flow problems it had encountered:

Although the IS&C is financially sufficient, it experienced cash-flow problems and significant drops in its net assets in FY 2010 and FY 2013.

> "*The large swings in revenue and disbursements over a five year period going from $47,542,053.64 to $85,953,915.95 is a direct correlation to the Broadband Technology Opportunities Grant (BTOP). This grant was awarded to the WV Office of Technology by National Telecommunications and Information Administration via the WV Military (WVMA) from FY 2010 through FY 2014. Funds were allocated, received and expended through this fund for specific grant purposes totaling over $76 million dollars over*

the course of the grant, including over $41 million that was passed through to a sub-recipient. This grant is currently over and therefore the fund has been reduced accordingly."

Furthermore, a Department of Administration (DOA) representative stated, "*The payments were delayed due to OT needing complete billing documents from Frontier. This delay caused an account payable and expense to be recognized at June 30, 2013 before the State was able to recognize the federal revenue in the Comprehensive Annual Finance Report (CAFR)."*

The IS&C Has Significantly Reduced Its Capital Leases and Other Debt

Debt service can reduce expenditure flexibility. Moreover, the equipment the agency was financing has a relatively short life span, so that by the time the loans are paid off the equipment may be outdated.

PERD reviewed the financial expenditures of the IS&C for FY 2010-2014. Table 3 shows the amount of debt service paid annually by the IS&C since FY 2010. The IS&C's debt service payments were for products such as Microsoft software, Microsoft products and licenses for all of the executive branch agencies, a mailing machine inserter for the IS&C data center, a mainframe server for the IS&C data center, virtual tape solutions for the IS&C data center, a storage array disaster center, and other equipment such as routers.

Table 3
The IS&C Debt Service Payments
FY 2010-2014

Fiscal Year	Total Expenditures	Debt Service Payment	Percentage of Debt Service to Total Expenditures
2010	$47,717,643	$4,317,006	9%
2011	$77,385,050	$5,817,775	8%
2012	$53,151,298	$5,970,259	11%
2013	$71,005,915	$6,262,237	9%
2014	$84,434,722	$4,337,559	5%

Source: West Virginia Financial Information Management System FY 2010-2014.

Debt service can reduce expenditure flexibility. Moreover, the equipment the agency was financing has a relatively short life span, so

that by the time the loans are paid off the equipment may be outdated. A representative of OT agreed and indicated that the goal is to pay off the notes payable so that the agency will be able to replace some of its technology. The IS&C has not entered into a lease-purchase agreement since FY 2012. However, as of FY 2014, the IS&C had six lease-purchase agreements that were still open. Five of these six agreements were originally for over $500,000.

Table 4 reports that the IS&C has significantly reduced lease-purchase agreements. Future debt service payments will also decline significantly which should allow for improved cash flow. When asked how the IS&C plans to purchase technology in the future, an IS&C representative reported, "*IS&C/OT will continue to procure and replace technology by building cost into respective rates. The method of payment will be blended to utilize cash on hand for smaller purchases $1 million and less and the Statewide Financing agreement for purchases over that amount.*"

Table 4
Amount Left to Pay on Existing Lease Agreements

Fiscal Year	Amount Left To Pay on Existing Lease Agreements
2010	$17,982,769
2011	$15,339,378
2012	$10,270,358
2013	$5,278,437
2014	$964,896

Source: The IS&C's Financial Statements FY 2010-2014

The IS&C is not properly following statutory language regarding telecommunications billing practices.

The IS&C Should Adhere to West Virginia Code Regarding Telecommunications Billing

The Legislative Auditor reviewed the IS&C's FY 2013 total charges for telecommunication services sent to spending units, their due dates, the amount paid, the date paid and any contested charges from the state agencies. The IS&C is not properly following statutory language regarding telecommunications billing practices. According to *West Virginia Code 5A-7-4a(d)* the IS&C director shall send each spending unit a statement of the spending units share of any telecommunications charges within 30 days of receipt by the division. However, *West Virginia Code 5A-7-4a(d)* further states, *"That the statement sent in [the] last month of the fiscal year shall*

provide that the transfer shall be made by July 31." The IS&C may accumulate monthly statements of less than $75 and submit them to the spending unit on one statement near the end of the fiscal year, according to Code (*5A-7-4a(d))*. Therefore, the IS&C tends to have more monthly statements near the end of the fiscal year. However, regardless of the amount, any statement sent by IS&C in the last month of the fiscal year should provide a due date of July 31st.

During June 2013 the IS&C had 518 statements sent to agencies with charges for services with the accompanied payment due dates of June 30, 2013. One of those statements was for over $100,000. The IS&C also had 182 statements sent to agencies during June 2014 with charges for services with the accompanied payment due date of June 30, 2014. Four of the June 2014 statements were for over $50,000. While all spending units are required to budget for telecommunications service expenses and provide payment for those services by a specific due date, the IS&C's statements sent in the last month of the fiscal year are to provide a due date no earlier than July 31st. **Therefore, in order to follow *West Virginia Code 5A-7-4a(d),* the IS&C, if billing for services in June, should request payment due by July 31st.**

While all spending units are required to budget for telecommunications service expenses and provide payment for those services by a specific due date, the IS&C's statements sent in the last month of the fiscal year are to provide a due date no earlier than July 31st.

The IS&C Should Annually Evaluate State Agencies Contested Charges

According to *West Virginia CSR 6.2.3,* all spending units or agencies that dispute any charge must include a written notice to the IS&C director that includes "*...1) the statement date, number and total charges; 2) the contested charges and the reason for contesting the charges; and 3) a proposed resolution."* According to the CFO "*...any time charges are contested the agency is required to complete the IS&C Billing inquiry form found on our website. The Billing Inquiry forms are maintained in the office and can be pulled for review."* In 2013, there were 9 contested charges listed for a total of $10,684. While the forms can be physically pulled for review, creating a database regarding contested charges should be considered. According to the CFO, "*At this time we do not track why the charges are contested."* A database of annual contested charges could be utilized by the IS&C to evaluate any internal issues with its service to state agencies. Also, the database could be reviewed to see if there are common disputes that could be rectified by the IS&C. **Therefore, it is the Legislative Auditor's opinion that in order to annually evaluate the quality of service, the IS&C should consider maintaining a database of contested charges.**

A database of annual contested charges could be utilized by the IS&C to evaluate any internal issues with its service to state agencies.

The IS&C Has Not Been Fully Integrated with the Office of Technology in West Virginia Code

In 1997, *House Bill 2688* created a position of Chief Technology Officer for the Office of the Governor. The IS&C continued to function under the West Virginia Department of Administration. During 2005, the Office of the Governor transferred the West Virginia Office of Technology to the DOA via *House Bill 2891* which "*… required the Director of IS&C to report to the CTO, and granted the CTO the authority to begin the consolidation of technology services."* The consolidation services were aimed to reduce technology costs, standardize technology equipment and procedures for the executive branch, centralize information, technology support staff, and generally improve the technology services available to the executive branch. The current CTO has held the position since June 4, 2012. However, the last IS&C director retired in 2008.

During 2005, the Office of the Governor transferred the West Virginia Office of Technology to the DOA via House Bill 2891 which "…required the Director of IS&C to report to the CTO, and granted the CTO the authority to begin the consolidation of technology services."

According to *West Virginia Code §5A-7-3*, *"The division shall be under the supervision and control of a director. The secretary shall appoint a director of the division."* There are legislative rules that require the IS&C director to "*...submit statements to each spending unit"* and "*...be notified, in writing, of all disputed charges….*" Currently, contested charges have to be approved by the CFO before credit can be granted to the agency. Also, the Office of Technology's CTO has responsibility of IS&C's finances. According to *West Virginia §5A-7-4(b),* the director is responsible for "*...the development of personnel to carry out the technical work of the division and approve reimbursement of costs incurred by employees to obtain education and training."* The director shall also maintain an accounting system for all telephone service to the state. Since the IS&C director retired in 2008, the IS&C has been functioning under the auspices of the OT; however, there is no statutory authority for this arrangement in Code. It is the Legislative Auditor's opinion that according to *West Virginia Code §5A-7-3,* the intent of the legislature is for the IS&C to be under the supervision and control of a director. **Therefore, the Legislative Auditor recommends that in order to adhere to West Virginia Code §5A-7-3, the IS&C should be under the supervision of a director that is appointed by the DOA secretary. If the DOA has established that the IS&C can operate effectively under the supervision of the Office of Technology, then the DOA should seek to amend the enabling statute.**

Conclusion

The IS&C was created to develop and improve the telecommunication functions for a variety of state departments, agencies, boards and commissions. However, the agency's enabling statute requires that it operate financially independent by charging state agencies for its services. The Legislative Auditor concludes that the IS&C is financially self-sufficient but that it has encountered periods of cash flow problems due in part to delays in grant payments. The IS&C has also improved its finances by reducing its reliance on loans to purchase equipment and software. Since FY 2010 the agency has been paying off lease-purchase agreements and has reduced the balances on its loans to under $1 million.

The IS&C has also improved its finances by reducing its reliance on loans to purchase equipment and software.

The IS&C is not adhering to *West Virginia Code §5A-7-4a(d)* that requires statements sent in the last month of the fiscal year have due dates of July 31st. The IS&C should also consider creating a database of contested charges for annual review to evaluate any common disputes that could be alleviated in the future. Finally, according to *West Virginia Code §5A-7-3,* the IS&C is to be under the supervision of a director. However, since 2008, the position has been vacant. Therefore the Legislative Auditor recommends that in order to adhere to West Virginia Code, the IS&C should be under the supervision and control of a director who is appointed by the DOA secretary. If the DOA has determined that the IS&C can operate effectively under the supervision of the Office of Technology, then it should seek a change to the enabling statute.

Recommendations

1. *The Legislative Auditor recommends that when the IS&C bills for services in the month of June, it should request payment due by July 31st.*

2. *The Legislative Auditor recommends that the IS&C should consider maintaining a database of contested charges.*

3. *The Legislative Auditor recommends that the IS&C should be under the supervision and control of a director who has been appointed by the DOA secretary. If the DOA has established that the IS&C can operate effectively under the supervision of the Office of Technology, then the DOA should seek to amend the enabling statute.*

ISSUE 2

The IS&C Reports a High Level of Customer Satisfaction, but the Performance Evaluation and Research Division Could Not Replicate the Reported Scores Using the Agency's Methodology.

Issue Summary

The IS&C provides customer service to state agencies through field support and a help desk. Therefore, customer service is an important performance aspect for the agency and should be measured. The IS&C has the performance goal to sustain a minimum satisfaction level of 95 percent since 2014. The performance goal was a minimum of 92 percent in 2013. The agency uses an automated system to measure customer satisfaction, and it has reported satisfaction levels of 92 percent in 2010, 92 percent in 2011, 99 percent in 2012, and 99 percent in 2013. Although the agency reports that it has achieved its satisfaction goal, PERD could not replicate these measures using the agency's methodology. It is important that performance measure methodology can be repeated to achieve the same calculations. The IS&C customer satisfaction may be relatively high, but without a standardized process in measuring satisfaction, the performance measures can be questionable. Therefore, the Legislative Auditor recommends the IS&C develop a standardized methodology for measuring customer service scores.

Although the agency reports that it has achieved its satisfaction goal, PERD could not replicate these measures using the agency's methodology.

Measuring Customer Satisfaction

Customer service is an important performance aspect for the IS&C. In a September 2009 report, the Legislative Auditor recognized improving customer satisfaction as a goal of the process of consolidating state IT resources under the Office of Technology, and recommended the use of surveys as a measurement of this goal. In a November 2009 follow-up report delivered to the Joint Committee on Technology, the Legislative Auditor presented the results of a customer satisfaction survey conducted by PERD. The survey was utilized to obtain an assessment of the level of services that state employees were receiving from the Office of Technology (OT) and IS&C following the consolidation. The Legislative Auditor's survey found that the OT and IS&C had improved or maintained service levels since the consolidation of the State's technology services.

The OT is the unit responsible for setting statewide information technology strategic direction, while the IS&C is responsible for the operations.

According to the OT's CFO, the OT has 4 employees, while the IS&C has 254 employees. The OT is the unit responsible for setting statewide information technology strategic direction, while the IS&C is responsible for the operations. Both OT and IS&C are two distinct agencies with similar goals according to *West Virginia Code*. A large

percentage of the IS&C's employees provide customer service to state agencies, for example, in 2015 the IS&C budgeted for almost 50 percent of its workforce to be involved in client services in which the IS&C provides services to state agencies.

The IS&C Measures Customer Satisfaction with a Post-Session Survey

State agencies are required to submit division-level performance measures for the *Operating Detail* of the State's Executive Budget as part of the appropriation request process. Although legislative appropriations are not based on the performance measures submitted by state agencies, they are required by the West Virginia State Budget Office in order to promote accountability to all levels of government. Also, performance measures are used to determine whether a program is accomplishing its mission efficiently and effectively.

The IS&C provides customer service to state agencies through field support and the help desk, the latter of which serves as the primary point of contact for the technology needs of its customers.

The IS&C included in the 2015 "*Goals/Objectives/Performance Measures*" section of the executive budget, to "*Sustain a minimum customer satisfaction survey level of 95%"* as a performance measure (see Figure 1 below). The IS&C's goal is to also "*Provide excellent customer service through a professional, accountable, and enthusiastic workforce in a supportive work environment*." Although this performance measure has not always been the only performance measure reported by the agency, it is the measure most consistently reported in the years observed.

Figure 1

Goals/Objectives/Performance Measures

Provide excellent customer service through a professional, accountable, and enthusiastic workforce in a supportive working environment.

- Sustain a minimum customer satisfaction survey level of 95%.

Fiscal Year	Actual 2011	Actual 2012	Estimated 2013	Actual 2013	Estimated 2014	Estimated 2015
Percent of customer satisfaction level	92%	99%	92%	99%	95%	95%

Source: 2015 West Virginia Executive Budget Operating Detail

The IS&C provides customer service to state agencies through field support and the help desk, the latter of which serves as the primary point of contact for the technology needs of its customers. When a call or e-mail is placed to the help desk, the customer's information

is logged into *HEAT*, a trouble-ticket tracking and management system. Tickets may be generated for a wide range of technical support needs, from a broken mouse to a network outage that impacts hundreds of employees. This application is used by multiple units within OT and the IS&C in order to collect data, assign resources, track progress and provide detailed case history until final resolution of the issue. Individual tickets are created for each reported issue and are assigned to the appropriate employee for the technical discipline or region.

The help desk is staffed Monday through Friday during regular business hours, with after-hours and holiday support provided by the State's internet service provider, WVNET. WVNET is limited to the type of services it may provide, and may only perform Microsoft Active Directory password reset or unlocks, while all other calls are directed to the IS&C and OT after hours calling list. Issues addressed by WVNET are also recorded in the *HEAT* service desk application via e-mail. An email is sent by WVNET to the service desk email address and then entered into the system on the next business day by an OT help-desk staff member.

Customer satisfaction surveys are generated automatically and sent to customers when the call ticket is closed in the *HEAT* trouble-ticket tracking and management system. Survey links are generated for call ticket numbers that end in zero, two, five or seven. Based on this methodology, 40 percent of all tickets should receive a survey link. A screen capture of the complete customer satisfaction survey may be found in Appendix C.

Table 5 shows the IS&C Customer Satisfaction response rate for fiscal years 2011 to 2013. The response rate for fiscal year 2010 could not be fully calculated because the current customer satisfaction survey was not implemented until November 2009. The number of surveys sent is an estimate based on the methodology used by the agency for sending surveys, as the agency does not believe there is a query for this information built into the *HEAT* system. The table demonstrates that the IS&C has maintained a roughly 17 percent survey response rate during the period observed, even as the number of tickets has steadily risen.

Table 5 IS&C Customer Satisfaction Survey Response Rate FY 2011-2013				
Fiscal Year	***HEAT* Tickets Closed**	**Surveys Sent (estimate)**	**Completed Surveys**	**Response Rate**
2011	111,884	44,754	7,934	17.73%
2012	118,247	47,299	8,366	17.69%
2013	132,409	52,964	8,834	16.68%
Source: Agency-generated documents from the HEAT system, HEAT survey data.				

The IS&C Performance Measurement of Customer Satisfaction Is Not Calculated or Reported in a Way That Is Accurate, Consistent, or Repeatable

The IS&C utilizes five survey statements as the basis of its survey score. The survey statements are as follows:

- It was easy to contact the WVOT service desk.
- The WVOT staff was knowledgeable.
- The WVOT staff was courteous.
- The issue was resolved in a timely manner.
- Overall I am satisfied with the service I received.

Each statement is rated on a five-point scale, with five being the highest rated score. Therefore, 5 points scored on each statement would create 25 total points or a 100% reported score. The IS&C reports an average of the monthly scores from the five survey questions. The average of the 12 monthly averages is ultimately the figure reported for use under the "*Goals/Objectives/Performance Measures*" section in the annual executive budget for the IS&C.

The Legislative Auditor calculated customer satisfaction scores based on the methodology provided by the IS&C, and could not replicate the scores reported by the agency in the Executive Budget *Operating Detail* for fiscal years 2010 to 2013. The Legislative Auditor utilized the agencies methodology and obtained a variance of 5 percent or less. **Therefore**, **the Legislative Auditor recommends**

The Legislative Auditor calculated customer satisfaction scores based on the methodology provided by the IS&C, and could not replicate the scores reported by the agency in the Executive Budget Operating Detail for fiscal years 2010 to 2013.

that the IS&C develop a standardized methodology for recording and reporting customer service scores that is replicated.

The IS&C Does Not Have Formal Processes in Place to Respond to Customer Feedback or Utilize Survey Information in a Way That Follows the Legislative Auditor's 2009 Recommendation

From the implementation of the IS&C customer satisfaction survey to the end of fiscal year 2013, the agency received 29,549 total survey responses, which included 10,833 comments.

In 2009, in recognition of the importance of customer satisfaction for the Office of Technology, the Legislative Auditor recommended that the agency "*…regularly survey the employees and leadership of consolidated agencies on all aspects of the services offered by the OT. These surveys should be designed with the goal of establishing future agency goals and performance measures.*" The Chief Technology Officer at that time agreed with this recommendation in response to the report, but stated the agency had already been "*electronically surveying its customers.*" Current OT staff have been unable to locate any survey data prior to the implementation of the current customer satisfaction survey, which was implemented in November of 2009. From the implementation of the IS&C customer satisfaction survey to the end of fiscal year 2013, the agency received 29,549 total survey responses, which included 10,833 comments. These survey comments, in conjunction with overall survey score, are reviewed as they are collected and used to identify and correct substandard performance, recognize superior performance, and to report as a performance measure in the annual executive budget. When the Legislative Auditor asked the IS&C how complaints are reviewed and analyzed from its survey response to ensure that customers' concerns are addressed, the agency responded that "*There is currently no formal, standard process for following up on survey results. This is currently a manual review process. Survey results are reviewed and notable surveys are sent to the individual WVOT Service Owner Managers for review and response at their discretion. It should be noted that this is an item that is currently being reviewed for process improvement.*"

When the Legislative Auditor asked the IS&C how complaints are reviewed and analyzed from its survey response to ensure that customers' concerns are addressed, the agency responded that "There is currently no formal, standard process for following up on survey results. This is currently a manual review process.

Although the IS&C has consistently scored in the ninetieth percentile in its customer satisfaction survey since fiscal year 2010, without a formal, standard process for following up on survey results that include complaints, the agency is not using all available information to improve performance. An annual review of complaint data can assist the IS&C in it understanding its customers' needs and thus guide service improvement efforts. The Legislative Auditor noted New Hampshire and Oregon as states that have produced reports on measuring customer satisfaction. Both identify the importance of reviewing and analyzing

complaints as a necessary step in addressing the underlying cause of a complaint. New Hampshire's 2009 report titled "*How to Measure Customer Satisfaction in New Hampshire State Government,"* reported that agencies should track and classify complaints in a database to note what the most common complaint is or what complaints have increased in the past six months. New Hampshire's report also noted that "*...complaint data can be used to identify training needs, thereby improving employee skills."* Oregon's 2004 report titled "*Measuring Customer Satisfaction in Oregon State Government,"* reported that "*Agencies should develop a database to record and classify complaints.* It was also noted*, "Logging complaints into a database is a necessary step, but it is not sufficient. Agencies should analyze the data and develop solutions that address the causes of complaints."*

By performing an extensive analysis on comments that were associated with negative scores, the Legislative Auditor was able to identify specific areas in need of improvement that are not apparent from the survey scores alone.

To that end, the Legislative Auditor performed an analysis on *all* negative scoring survey comments from December 1, 2009 to June 29, 2013. First, the Legislative Auditor obtained all negative scores by sorting from the 29,549 total survey responses, choosing only those that the customers ranked their overall satisfaction as poor to very poor. There were 529 negative survey responses. The Legislative Auditor then reviewed the comments associated with these negative survey responses. The most common negative comment (141 out of 529 negative comments) concerned tickets that were closed without resolution of the customer's issue. This comment was identified 27 percent of the time. The second most common negative comment (38 out of 529 negative comments) concerned tickets in which the issue is still ongoing. This comment was identified 7 percent of the time. The third most common negative comment (34 out of 529 comments) concerned tickets in which the issue took too long to resolve. This comment was identified 6 percent of the time.

While it must be restated that this analysis only considered negative scores and the comments associated with them, this analysis has identified areas needing improvement such as agency response time and consistent job ticket closure policies.

By performing an extensive analysis on comments that were associated with negative scores, the Legislative Auditor was able to identify specific areas in need of improvement that are not apparent from the survey scores alone. The top three types of responses, though distinct, all reflect deficiencies in agency performance. While it must be restated that this analysis only considered negative scores and the comments associated with them, this analysis has identified areas needing improvement such as agency response time and consistent job ticket closure policies. Both of these are examples of areas for process improvement that the agency could measure and report for the annual Executive Budget *Operating Detail* as a part of the appropriation request process. This would bring the agency into compliance with the Legislative Auditor's 2009 recommendation that surveys should

be designed with the goal of establishing future agency goals and performance measures. For example, a goal could be to lower the number of negative survey responses associated with comments that reported tickets were closed without resolution by 20 percent from the previous year. **Therefore, the Legislative Auditor recommends that the IS&C utilize the negative survey scores and the comments associated with them by its customers as a means for designing future goals that can be measured, which would reflect agency performance in regards to customer service.**

Furthermore, the federal Office of Personnel Management (OPM) has developed customer service survey criteria for use by federal agencies. The criteria are proprietary, but public aspects of the criteria include nine service quality dimensions that rate customer satisfaction, including: access, courtesy, knowledge, timeliness, reliability, choice, tangibles, recovery, and quality. The IS&C customer service survey addresses these criteria in the multiple-choice portion of its survey. However, OPM also recommends including two comment boxes at the end of the survey; typically open-ended questions such as "*What is working?*" and "*What needs improvement?"* Following the OPM model would allow the IS&C to receive instructional comments from positive, neutral, and negative comments that provide positive feedback for its work, but also allow for customers to suggest possible improvements. **Therefore, The Legislative Auditor recommends that the IS&C develop specific open-ended questions with the intention of receiving and measuring all responses in order to create or enhance future agency goals and performance measures.**

The IS&C Sends Out an Additional Survey to Some Customers

Bomgar is a program utilized by IS&C help desk and field technicians to provide remote desktop and administration support to end users. The program allows IS&C technicians to observe and guide users while they work on their computer to resolve an issue or to take control of the desktop remotely and making changes to solve a problem. This program also seeks customer feedback in the form of a customer satisfaction survey. The *Bomgar* survey is requested automatically from every support session from which it is used.

Like the customer service survey data yielded from *HEAT* described previously, *Bomgar*-initiated surveys are reviewed as they are collected and corrective action for substandard performance is taken when necessary. Positive comments from both *HEAT* and *Bomgar* surveys are

shared on an internal intranet site for OT employees. Both positive and negative comments are considered in performance reviews of OT customer-facing staff. An overall score for recipients of the survey generated by *HEAT* ticket numbers is used in the Executive Budget; however the data collected by the *Bomgar* survey are not used in the reporting for the agency goals in the Executive Budget.

Based on the methodologies used to generate the surveys by both *HEAT* and *Bomgar,* it is possible that some customers receive one survey, two surveys, or no surveys depending on the type of service rendered. As noted previously, the response rate by customers utilizing *HEAT* tickets has been less than 18 percent since FY 2011. While there is no defined average response rate, a low response rate may serve as a warning that nonresponse error might be a problem. Minnesota's *Guidelines for State Agency Customer Satisfaction Surveys,* reports that the individuals who do not respond means those "*...respondents could be systematically different from the rest of the population."* It is the Legislative Auditor's opinion that an 18 percent response rate is not an adequate representation of the whole population. **Therefore, the IS&C should consider developing a method that would increase the response rates of its customer surveys.**

An overall score for recipients of the survey generated by HEAT ticket numbers is used in the Executive Budget; however the data collected by the Bomgar survey are not used in the reporting for the agency goals in the Executive Budget.

It is the Legislative Auditor's opinion that having two sets of surveys that overlap may be contributing to the low response rate within the *HEAT* system. The IS&C retains logs for the *Bomgar* survey for only 90 days, making it impossible to identify how many customers received different combinations of each survey. Furthermore, the *HEAT* ticket number is not kept in *Bomgar*, so comparisons between the survey results could not be made even if the data were available. If *Bomgar* could be configured to send a survey to customers who did not receive the survey generated by the *HEAT* session, the surveys would not overlap in this manner, however, according to a representative from *Bomgar*, the program can only be enabled or disabled to send a post-session survey to all customers.

The agency provided the Legislative Auditor with a 90-day sample of *Bomgar* survey results. This smaller sample demonstrated that the results of the *Bomgar* survey were generally positive and similar to scores seen in the survey generated by the *HEAT* tracking system. While the *Bomgar* survey provides mostly positive feedback to the IS&C it serves as the second post-session survey that is used by the agency. Rather than continue the survey and hope that customers are not being requested for post-session surveys from two different tracking systems, it is the Legislative Auditor's opinion that one should

Rather than continue the survey and hope that customers are not being requested for post-session surveys from two different tracking systems, it is the Legislative Auditor's opinion that one should be discontinued.

be discontinued. **Therefore, the Legislative Auditor recommends that the IS&C discontinue the use of the Bomgar customer exit survey**.

Conclusion

The IS&C measures customer satisfaction with a post-session survey tracking and management system called *HEAT* that is sent randomly out to 40 percent of the customers. The IS&C reports the results in the Executive Budget. While the IS&C reports that it has sustained the goal of a minimum customer satisfaction level of 95 percent, the methodology used could not be repeated by PERD, which puts in question the accuracy of the measure. Therefore, the Legislative Auditor recommends that the IS&C develop a standardized methodology for documenting customer service scores that can be replicated. Also, the IS&C should annually review customer comments that are associated with the survey's negative scores and ask more open-ended questions with the intention of receiving and measuring the responses. The agency should also make attempts to increase the response rates of its surveys. The IS&C provides another post-session survey from a different exit survey program called *Bomgar*. The *Bomgar* system is unable to distinguish if a customer has received an exit survey from the *HEAT* system. Therefore, customers may be receiving both surveys. It is the Legislative Auditor's opinion that having two different exit surveys may help to diminish the response rate. Therefore, the Legislative Auditor recommends that the IS&C discontinue the use of the *Bomgar* customer exit survey.

While the IS&C reports that it has sustained the goal of a minimum customer satisfaction level of 95 percent, the methodology used could not be repeated by PERD, which puts in question the accuracy of the measure.

Recommendations

4. *The Legislative Auditor recommends that the IS&C develop a standardized methodology for documenting customer service scores that can be replicated.*

5. *The Legislative Auditor recommends that the IS&C use the negative survey scores and the comments associated with them by its customers as a means for designing future goals that can be measured, which would reflect agency performance in regards to customer service.*

6. *The Legislative Auditor recommends that the IS&C develop specific open-ended questions with the intention of receiving and measuring all responses in order to create or enhance future agency goals and performance measures.*

7. *The IS&C should consider developing a method that would increase the response rates of its customer surveys.*

8. *The Legislative Auditor recommends that the IS&C discontinue the use of the Bomgar customer exit survey.*

Appendix A
Transmittal Letter

WEST VIRGINIA LEGISLATURE
Performance Evaluation and Research Division

Building 1, Room W-314
1900 Kanawha Boulevard, East
Charleston, West Virginia 25305-0610
(304) 347-4890
(304) 347-4939 FAX

John Sylvia
Director

August 18, 2015

Gale Given, Chief Technology Officer
West Virginia Office of Technology
1900 Kanawha Boulevard, East
Capitol Complex - Building 5, 10th Floor
Charleston, WV 25305

Dear Chief Technology Officer Given:

This is to transmit a draft copy of the Performance Review of the Office of Technology/Information Services and Communications Division. This report is scheduled to be presented during the September 13-14, 2015 interim meeting of the Joint Committee on Government Operations, and the Joint Committee on Government Organization. We will inform you of the exact time and location once the information becomes available. It is expected that a representative from your agency be present at the meeting to orally respond to the report and answer any questions the committees may have.

If you would like to schedule an exit conference to discuss any concerns you may have with the report, please notify us by Tuesday, August 25, 2015. We need your written response by noon on Wednesday, September 2, 2015 in order for it to be included in the final report. If your agency intends to distribute additional material to committee members at the meeting, please contact the House Government Organization staff at 340-3192 by Thursday, September 10, 2015 to make arrangements.

We request that your personnel not disclose the report to anyone not affiliated with your agency. Thank you for your cooperation.

Sincerely,

John Sylvia

John Sylvia

Enclosure

Joint Committee on Government and Finance

Appendix B
Objectives, Scope and Methodology

The Performance Evaluation and Research Division (PERD) within the Office of the Legislative Auditor conducted this performance review of the Office of Technology/Information Services and Communications Division (IS&C) as part of the agency review of the Department of Administration required by West Virginia Code §4-10-8(b)(2). The purpose of the Office of Technology/Information Services and Communications Division, as established in West Virginia Code §5A-6-1 and §5A-7-1 is to create an integral part of the Department of Administration with the authority to advise and make recommendations to all state spending units on their information systems and to establish, develop and improve data processing and telecommunication functions in the various agencies.

Objectives

The objectives of the review were to review the finances of the IS&C to determine its financial self-sufficiency and to evaluate the IS&C's automated post-session customer satisfaction survey.

Scope

The scope of the review of IS&C's finances to determine its financial self-sufficiency was fiscal years 2010-2014. PERD reviewed the IS&C's post-session customer satisfaction completed survey's for fiscal years 2010-2013. It should be noted that the survey was implemented in November 2009, therefore, FY 2010 data were only for a partial fiscal year.

Methodology

PERD gathered and analyzed several sources of information and conducted audit procedures to assess the sufficiency and appropriateness of the information used as evidence. This information gathered and the audit procedures are described below.

In order to evaluate the IS&C's finances, PERD obtained financial data from the Financial Information Management System (FIMS) for fiscal years 2010-2014. PERD also used the FIMS data to evaluate debt service payments made by the IS&C for fiscal years 2010-2014. PERD obtained additional financial data from the State's Comprehensive Annual Finance Report (CAFR) to report on the IS&C's net assets for fiscal years 2010-2014. No procedures were conducted on FIMS data because the Legislative Auditor considers it an authoritative source under GAGAS A6.05c. Therefore, FIMS and CAFR data on IS&C funds were considered sufficient and appropriate.

PERD reviewed the completed surveys of IS&C's post-session customer satisfaction surveys for fiscal years 2010-2013. In order to attempt to replicate the IS&C's reported customer satisfaction scores, PERD utilized the IS&C's methodology to calculate the overall percentage of customer satisfaction for fiscal years 2010-2013. The IS&C's reported scoring methodology is to average the monthly scores of all five survey statements then average the monthly averages. The number is then reported by IS&C under the "*Goals/Objectives/Performance Measures"* section in the annual executive budget for the IS&C. The Legislative Auditor was only interested in the method of calculating customer satisfaction. Therefore, there was no need to confirm the information on the agency's responses to the customer satisfaction survey.

We conducted this performance audit in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Appendix C
West Virginia Office of Technology Satisfaction Survey

Soundings

WVOT Customer Satisfaction Survey

Questions marked with '*' are required to complete the survey.

1) Please enter your service desk ticket number from the e-mail invitation *

2) For what Agency/Department do you work? (Choose Best Match) *

- Administration (General Services, Grievance Board, OT, Public Defender, Purchasing, Real Estate, Etc)
- Commerce (Workforce WV, Tourism, Labor, Forestry, Miner's Health, Etc)
- Education and the Arts (Culture & History, Library Commission, Rehabilitation Services, Etc)
- Environmental Protection
- Health & Human Resources
- Local Health Department (All LHD's, WIC, Etc)
- Military Affairs & Public Safety (Corrections, Homeland Security, Juvenile Services, State Police, Etc)
- Office of the Governor (Boards, EEO, Real Estate, Etc)
- Public Service Commission
- Revenue (Banking, Insurance Commission, Lottery, Tax Department, Etc)
- Senior Services
- Transportation (Highways, DMV, Etc)
- Veteran's Assistance
- Other (Any Department/Agency Not Listed Above)

3) It was easy to contact the WVOT service desk. *

- 5 - Strongly Agree
- 4 - Agree Somewhat
- 3 - Neutral
- 2 - Disagree Somewhat
- 1 - Strongly Disagree

4) The WVOT staff was knowledgeable. *

- 5 - Strongly Agree
- 4 - Agree Somewhat
- 3 - Neutral
- 2 - Disagree Somewhat
- 1 - Strongly Disagree

5) The WVOT staff was courteous. *

- 5 - Strongly Agree
- 4 - Agree Somewhat
- 3 - Neutral
- 2 - Disagree Somewhat
- 1 - Strongly Disagree

6) The issue was resolved in a timely manner. *

- 5 - Strongly Agree
- 4 - Agree Somewhat
- 3 - Neutral
- 2 - Disagree Somewhat
- 1 - Strongly Disagree

7) Overall I am satisfied with the service I received. *

- 5 - Strongly Agree
- 4 - Agree Somewhat
- 3 - Neutral
- 2 - Disagree Somewhat
- 1 - Strongly Disagree

8) If you would like to leave any additional comments or suggestions for the WVOT, please enter them in the space below.

Submit Answer(s)

Appendix D
Agency Response

STATE OF WEST VIRGINIA
DEPARTMENT OF ADMINISTRATION
OFFICE OF TECHNOLOGY
State Capitol
Charleston, West Virginia 25305

Earl Ray Tomblin
Governor

Jason Pizatella
Acting Cabinet Secretary

Gale Y. Given
Chief Technology Officer

September 2, 2015

John Sylvia
West Virginia Legislature
Performance Evaluation and Research Division
Building 1, Room W-314
1900 Kanawha Boulevard, East
Charleston, West Virginia 25305-0610

PERFORMANCE EVALUATION
SEP 3 2015
AND RESEARCH DIVISION

Dear Mr. Sylvia:

Thank you for the opportunity to review and comment on the recent Performance Review of the Office of Technology and Information Services & Communications Division ("IS&C"). This letter contains the agency's response to the recommendations. I want to commend the hard work that you and your staff at the Performance Evaluation and Research Division ("PERD") put into researching and writing this report. There has been great progress made by the agency in recent years toward making our operations run more effectively and efficiently and I'm pleased that PERD recognized this fact.

Issue 1: The Information Services and Communications Division Is Financially Self-Sufficient in Providing Information Technology Services to State Agencies, and It Has Made Progress Towards Strengthening Its Financial Position.

Recommendation:

The Legislative Auditor recommends that when the IS&C bills for services in the month of June, it should request payment due by July 31st.

Management Response:

The agency agrees with this recommendation and will alter our policy so that all invoices for June services must have a due date of July 31st or earlier.

Capitol Complex Bldg. #5 – 10th Floor Charleston, West Virginia 25305 Phone: (304) 558-5472 Fax: (304) 558-0136

Recommendation:

The Legislative Auditor recommends that the IS&C should consider maintaining a database of contested charges.

Management Response:

The agency agrees with this recommendation and are in the process of creating a database that will track contested charges beginning with FY 2016 invoices. This database will track the customer identification, the invoice number, the contested cost center, the amount contested, the amount credited, reason for dispute, and IS&C discovery. This database will assign a specific number to each dispute. In addition to this database IS&C/OT will continue to maintain all paper dispute forms for backup documentation. Each will be numbered with the appropriate number designation from the database.

Recommendation:

The Legislative Auditor recommends that the IS&C should be under the supervision and control of a director who has been appointed by the DOA secretary. If the DOA has established that the IS&C can operate effectively under the supervision of the Office of Technology, then the DOA should seek to amend the enabling statute.

Management Response:

In consultation with the Cabinet Secretary, the agency is currently considering how best to implement this recommendation.

Issue 2: The IS&C Reports a High Level of Customer Satisfaction, but the Performance Evaluation and Research Division Could Not Replicate the Reported Scores Using the Agency's Methodology.

Recommendation:

The Legislative Auditor recommends that the IS&C develop a standardized methodology for documenting customer service scores that can be replicated.

Management Response:

The calculation method used to determine customer satisfaction level was standardized beginning in FY 2015. Customer Satisfaction is measured based on the total number of positive feedback scores divided by the total number of survey responses. This simplified methodology will be used by the agency

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going forward in order to establish a standard baseline for measurement of customer satisfaction.

Recommendation:

The Legislative Auditor recommends that the IS&C use the negative survey scores and the comments associated with them by its customers as a means for designing future goals that can be measured, which would reflect agency performance in regards to customer service

Management Response:

The agency agrees that this is an area of opportunity. We are currently working to develop a plan to capture, analyze and track both individual case deficiencies and overall trends in root cause.

Recommendation:

The Legislative Auditor recommends that the IS&C develop specific open-ended questions with the intention of receiving and measuring all responses in order to create or enhance future agency goals and performance measures.

Management Response:

The agency agrees with this recommendation. A project will be initiated to update the questions using a more straightforward and granular question set which we anticipate will produce a more accurate measurement of customer experience.

Recommendation:

The IS&C should consider developing a method that would increase the response rates of its customer surveys.

Management Response:

The agency agrees with this recommendation.

Recommendation:

The Legislative Auditor recommends that the IS&C discontinue the use of the Bomgar customer exit survey.

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Management Response:

The agency agrees with this recommendation and will immediately cease sending out customer surveys at the end of BOMGAR support sessions.

Again, I appreciate the thoughtful analysis that PERD gave to these issues. Please do not hesitate to call me if I can be of any further assistance.

Sincerely,

Gale Given
Chief Technology Officer

cc: Secretary Pizatella

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WEST VIRGINIA LEGISLATIVE AUDITOR
PERFORMANCE EVALUATION & RESEARCH DIVISION

Building 1, Room W-314, State Capitol Complex, Charleston, West Virginia 25305

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