# FAC transition research plan | **auditors**

April 2022

## Sprint 1

### Goals of this research

1. To identify usability issues and potential improvements with implementing FAC IDES audit submission in USWDS before we invest any engineering effort.
2. Deepen our understanding of auditors/auditees information needs and how they work
3. To understand implications of implementing UEI in the user interface and hear users' questions and concerns.

#### Scenario assumptions

- We will begin by mocking only the happy path
- Users will be creating a new submission, not picking up/editing a saved submission
- Users will be existing users
- Users will be asked to enter UEI instead of DUNS
- Auditor participants are submitting an audit that has no findings
- Audit has no CAP Text
- Audit has no secondary auditors
- Audit has no additional DUNS

# Hypotheses

H1: We believe that prototyping the existing FAC IDES audit submission interface and forms in USWDS will:

1. Meet auditors' and auditees' needs with minimal, if any, disruption.
2. Provide incremental usability and accessibility improvements out of the box.
3. Provide a usability baseline against which we can measure future improvements.

H2: We believe that beginning the audit submission/revision/update process by showing users all audits associated with them will provide them a more direct route to information they need, prevent new audits from being created erroneously, and save users' time.

# Methods

Interviews and observations with auditors interacting with low fidelity mocks/prototypes.

## Participants

- ~8 auditors

# Research questions

1. Do out of the box USWDS page templates applied to the FAC screens support users in finding the information they need?
2. How do they organize their information in preparation to fill out the SF-SAC form?
3. Does our understanding of the current workflow match reality?
4. What needs may be specific to particular types of auditors/auditees?
5. What characteristics/behaviors distinguish different sub-types of users?
6. What accounts for meaningful variations in how they work? What's the impact on their information needs?

# Interview protocol

## Intro (5 minutes + 5 minutes buffer time)

Hi, thank you for taking the time to meet with us. I'm here today along with a few people from my team who are taking notes.

Today we're here to dig into federal audit processes and what they could look like in the future. We're here to learn about how you work and how you might use some of the ideas we've come up with, what's working, and where we've got it wrong.

One note on housekeeping - you'll be compensated, how would you like to receive that? Email, snailmail?

What you say is confidential. Anything we may share outside of this group will be de-identified as much as possible. Our goal is to make grant reporting easier for you.

Also, please note that this is just a conversation and we are coming into the process with an open mind. We want your honest thoughts and opinions and there are no "right" and "wrong" answers. Just try to answer everything as best as you can.

While it may seem awkward, I'd like you to say whatever you are thinking, doing, or looking at as we proceed. This really helps me understand what is going on behind your actions. If you have any questions for me, please don't hesitate to ask. If you need a break, please speak up.

So that we don't miss anything, we would like to capture a screen and audio recording of our session. Is that alright with you?

Do you have any immediate questions for me?

## Workflow interview Qs (15 minutes)

1. Tell me about your experience as it relates to single audits?
2. What types of entities or organizations do you typically work with/submit audit reports on behalf of?
3. What typically triggers your work on a single audit? What kicks off your process?
   a. How do you do it? (probe: Can you walk me through it? What is your first step?)
   b. What information do you need?
   c. Where do you get it?

        d. Who else is involved?
            i. At what points?
            ii. How do you connect with them?

4. What information do you need that you have a hard time getting?
        a. Probe: Do folks print the SF-SAC form? Why? How often?
5. If there were one or two things you could change about the way it's working now, what would they be?
6. I have one more question for you before we switch gears to showing you some of our ideas. When you sit down at your computer to get ready to start work on a new single audit - where do you go? (i.e., Google? Do they have the FAC website bookmarked?) do they start on the webpage or go to IDEs directly? Do they go to their email and search for a notification?)

## Mocks [30 minutes]

Ok, now we're going to switch to something new. Based on what we've learned so far, we have an idea for how single audits could be handled in a new system. We like to get input early and often

I'm going to drop a link in the chat, and once you have it up, I'll ask you to share your screen.

==Link== **[position screen on center of FAC website landing page - instruct folks to go to options and de-select "show Figma UI"]**

You can take a look, but don't click on anything yet. Mock ups are a lightweight way for us to explore ideas before we invest any effort in engineering. What we're looking at now are basically screens wired up to "mock" some basic functionality, not much will actually work. In some cases, we intentionally leave sections blank as a way of sparking discussion on what you might expect to see.

Any questions before we get started?

1. What do you think this page is for?
2. What information would you expect to see?

For the rest of our time, we're going to walk you through some of our design ideas using specific scenarios.

**Scenario 1: Imagine you are going to begin working on a new audit for an existing client.**

1. Where might you go from here?
2. What information do you need before you get to this point?
    a. Probe: talk me through what else you might have around you at your desk, on your monitor in order to feel ready entering information.
[if folks don't find the login button, note it, but then guide them to it]
3. What questions do you have about logging in?
    a. Are you familiar with Login.gov?
    b. What challenges do you foresee?

<mark>Wire up login button to go to landing page "audits associated with me"</mark>

We didn't bother mocking the login experience, but imagine that you log in using login.gov and this where you land.

1. Tell me what this page is about?
2. Why do you think these are the audits listed?
3. Is there any information you'd need here that you don't see?
4. How might you want to filter and sort this information?
5. Let's say you wanted to see more details on that first audit in the list. Where would you go for more information?

**Scenario note: The audit you're working on is for <u>The DC Central Kitchen</u>. It's not listed here.**

<mark>Wire up "new audit" button to go to "**create new audit**" page</mark>

1. What questions do you have here?
2. What do you make of the progress bar at the top?
3. What does "create new audit" mean to you here?

**Scenario note: For the purposes of this test, we're going to assume that the DC Central Kitchen is a US-based non-profit that spent more than $750K in the audit period.**

Wire up "continue" button to go to "**auditee information**" page

4. What questions do you have here?
5. How do you think UEI might impact your work?
6. What other information would you need here to feel confident moving forward?

Wire up click anywhere to show completed form with mock data

Wire up "continue" button to go to "**audit submission access**" page
1. Do you typically know these contacts when you're sitting down to do this work?
2. What do you make of the "skip for now" link?
   a. Is it something you'd use?
   b. What are the implications of skipping this step?

Wire up click anywhere to show completed form with mock data

Wire up "continue" button to go to "audit report home" page

**Scenario note: we know that sometimes auditees do this, and sometimes auditors do it. Is this something you typically do? To move us along, you're going to proceed with entering some SF-SAC data.**

Wire up "enter and finalize form SF-SAC to go to "**general info**" showing pre-populated data from sam.gov."

1. What questions do you have here?
2. Where do you think this information came from?
3. Do you trust the information's accuracy? If not, what would make it trustworthy?
4. What fields are you likely to edit?

**Scenario note: For the purposes of this test, we're assuming that there are no additional EINs, no secondary auditors, and no additional UEIs.**

Wire up side nav, part 2, federal awards to go to part 2 **federal awards page.**

1. What would you do here? [probe: do you enter 1 by 1, or do you use the worksheets?]
2. What do you make of these instructions?
   a. Probe: are you familiar with .csv?
   b. Probe: what challenges do you foresee?

3. What are your impressions of this page?
4. Talk me through the kinds of information you'd add here in the note sections.
5. What questions do you have?

6. What are your impressions of this page?

1. What does "finalize" mean to you?
2. What do you typically do in order to feel ready to click "finalize"
3. What do you expect will happen after you click "finalize"

## General questions

1. What are your initial impressions of what you saw today?
2. Is there anything we should have asked you that we didn't?

## Outro [5 minutes]

What's next is we look at feedback we've gotten across all of these sessions and make some improvements. We're also working on designing aspects of the process you didn't see today. We do these kinds of sessions every few weeks to make sure we keep heading in the right direction.

Is it ok if we reach out to you again?

We are also wanting to recruit auditees. Do you have anyone you work with who you think might be interested in helping us out? We're particularly interested in connecting with entities that serve underserved communities and tribal nations and/or organizations.

End on how/when they'll get compensation.

## Mock data

- **[new audit creation] Auditee information**
  a. Auditee UEI: JN2ENHDF5555
  b. Auditee name: D.C. Central Kitchen, The

       c.   Auditee fiscal period start date for this submission: July 1, 2021
       d.   Auditee fiscal period end date for this submission: June, 30 2022

- **[new audit creation] Auditee submission access**
  - a. Auditor certifying official: Julia Nguyen
    - Email: julia.nguyen@auditor.com
  - b. Auditee certifying official: Alex Morris
    - Email: alex.morris@dckitchen.org
  - c. Auditor contact: Julia Nguyen
    - Email: julia.nguyen@auditor.com
  - d. Auditee contact: AJ Jones
    - Email: aj.jones@dckitchen.org
- **Audit report Form - Report Home**
  - a. Type of entity: Non-profit
- **All pages in SF-SAC**
  - a. Auditee entity name: D.C. Central Kitchen, The
- **General info page**
  - ○ fiscal period start date: July 1, 2021
  - ○ fiscal period end date: June, 30 2022
  - ○ Auditee Unique Entity Identifier (UEI): JN2ENHDF5555
  - ○ Auditee name: D.C. Central Kitchen, The
  - ○ Auditee address
    - (street): 425 2nd St. NW
    - City: Washington
    - State: District of Columbia
    - Zip: 20001-2003
  - ○ Auditee contact
    - Name: AJ Jones
    - Title: Administrator
    - Telephone: 555-2345
    - Email: aj.jones@dckitchen.org