FAC transition plan |

agency users

May 2022

Sprint 2

Goals of this research

1. To identify usability issues within the current FAC Image Management System (IMS) Search and filter.
2. Acquire deeper understanding of what agency users are searching for in past audit reports and why.
3. Analyze instructional content; does it make sense for users to accomplish their task?
4. Surface how the MVP containing only current year audit reports (no historical data) might impact audit resolution officials' workflow.
5. To understand how agencies use EIN in their workflow.

Getting audit data and reports

6. Learn how our API needs to support users' needs in how they will access and download submitted audit data and pdf reports. I.e., what's the minimal thing that will meet their needs?
7. Increased understanding of how users reference downloaded documentation (audit reports and Excel files that contain the SF-SAC data).

Testing scenario assumptions

- Using current FAC Search & filter functionality to recreate a query that the participant has done or would normally do.
- The participant will choose whichever method suits them best.

Hypotheses

H1: Users are reliant on Excel for their workflow, and a different file format will cause complications and delays, particularly when submission is time sensitive.

H2: We believe that context relevant information will better support users in doing what they need to do.

Methods

Interviews and observations with audit resolution officials interacting with the existing system..

Participants

- ~8 agency FAC users

Research questions

1. How do people search and filter to find what they need?
2. Are existing search filters sufficient for end-users, and are there opportunities for additional search criteria to expedite this process (eg: states, counties)?
3. Are instructions clear and understandable?
4. What accounts for meaningful variation in agency user needs?
5. How important is it to maintain Excel file formats for retrieval versus other formats such as .csv?
6. Do people use the instruction manual? If so, how?

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.

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 (30 minutes)

1. Tell me about your experience as it relates to single audits?
2. Tell me about typical scenarios in which you find yourself interacting with the FAC?
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 the process?)
   b. What information do you need?
      i. How does being able to filter by date help you, if at all?
   c. Where do you get it?
   d. Who else is involved?
      i. At what points?
4. How do you connect with them?
5. What information do you need that you have a hard time getting?
6. If there were one or two things you could change about the way it's working now, what would they be?

Search runthrough [15 minutes]

From FAC home page

7. **Scenario 1:** In what scenarios do you need to look at previously submitted audits? Can you walk us through finding an audit report from prior years that you would reference?
   a. Probe: Why did you choose this search method?
   b. Could you download the report you would want to reference?

      i.   [after pulling a document]: Why did you select this file rather than the others?

      ii.   Can you open this document and walk us through what you would be looking for ?

          1.   Any other things you might be looking at here?

8. Earlier you mentioned [scenario from Q2]. Can you walk us through how you do that?

[repeat Qs above for additional scenarios]

From single audit search page

9. Scenario 2: Is there anything here that you do typically use that you haven't shown us yet?
   a. General Information section
   b. Financial statements section
   c. Federal awards section
   d. Federal awards finding details section

General questions

1. Tell me how Excel plays into your process?
   a. What implications do you see in using the FAC if Excel files were not an option?
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.