

# FAC transition research plan | auditors

DRAFT | 6/8/22

## Goals of this research

To catch any major usability issues with what we've designed so far:

- FAC.gov homepage
- "My audits" homepage
- New audit creation steps (criteria check, auditee info, submission access)
- SF-SAC form pages

Stretch goals include testing:

- Post SAC pages (upload audit report, certify)
- Error copy and save/discard data prompt
- Modals and alt states for pages that require excel upload
- Side nav locking/unlocking behavior
- Navigation between form sections

## Scenario assumptions

- Auditors will be creating the new audit and entering SEFA data on behalf of an auditee
- The audit **has** findings
- The audit **has** CAP text
- The audit **has** secondary auditors
- The audit **has** additional UEs
- The audit **has** additional EINs

## Hypotheses

We believe that not including data entry via a web form as part of the MVP will not bar people from submitting FY22 single audits.

H2: We believe that auditors who do not understand the UEI number and where to find that information can be served by UX copy delivered early in the audit creation process.

## Methods

Moderated observation of auditors engaging in a usability testing exercise of interactive prototypes (clickable mockups).

## Participants

- 9 auditors who have a key role in their organizations' grants management and auditing processes.

## Research questions

1. Does the new audit creation process meet the needs of auditors?
2. Do the refinements we've made address issues we found in sprint 1 testing?
  - a. Homepage - clarity around where to go to submit a new audit
  - b. My audits - clarifying the relationship between a user and the audits that will appear there; defining UEI the first place it appears in user's flow
  - c. SF-SAC - Navigating among form sections
3. Is the proposed language around UEI understandable to auditors unfamiliar with the number?
4. How will UEI impact the auditors' workflow, particularly if it isn't known?
5. How much impact will there be on the auditors' process after removing features from the current state of the FAC?
6. Do auditors understand what happens when the submission is finalized?

# 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.

Before we proceed, we want to make sure we know your preference for receiving compensation--would you rather receive that via email or snail mail? What's a good address? You should receive your gift card in about a week.

Today we would like to have you run through an early redesign concept we are working on of the Federal Audit Clearinghouse website. These concepts will not be final renditions of the site but rather explorations of ideas we want to test.

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?

## Icebreaker & General Info [5-10 minutes]

1. Could you tell us a little bit about yourself and the work you do as it relates to single audits?
2. When do you get started with single audits?
3. How do you normally go about them? What is your process like?
4. Do you have any concerns about the transition of the FAC from Census to GSA?

## Testing mocks/prototypes [30 minutes]

OK, we will go ahead and get started.

Could you please begin sharing your screen?

[post link to Figma prototype in chat]

In the Zoom chat I've posted [a link to our prototype](#). Could you click that link?

### [FAC.gov home page]

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.

1. How do you feel about the information on this page?
2. Describe what you could do from here
3. Do you feel there is some information missing that should be on this page?

**Scenario: You are creating a new audit for an existing client. Go through the screens here to show us how you would do this, while speaking aloud what you are thinking.**

4. [needs to login first]
  - a. [Submit an Audit or Sign In CTA (tbd)]
    - i. What do you expect you're able to do with clicking this button?
    - ii. [if they only mention Submit an Audit] Is there anything else you would expect to be able to do here?
  - b. Are you familiar with Login.gov?
  - c. What challenges do you foresee?

### [My Audit Submissions page]

1. Can you explain to me what you see on this page?
2. Can you tell us what the Status column means to you?
3. (probe if no mention of UEI prior) The Auditee UEI, what can you tell me about that?
4. Is anything else unclear?

**Scenario: The audit you are working on is The DC Central Kitchen, a US-based non-profit that spent over \$750,000 in federal awards during its audit period.**

### **[Create new audit 1: Criteria check page]**

1. [prompt user for thoughts if quiet but have them self-direct here]

### **[Create new audit 2: Auditee information page]**

1. What would you do next here?

[UEI not validated modal]

2. In this instance you've given a UEI but the system was unable to recognize it.
  - a. What do you think happened here?
  - b. How do you feel this would affect your process?
  - c. How would you proceed if you were to encounter this?

["continue without confirmed UEI" proceeds to auditee info page without confirmed UEI]

3. When do you think you'll need a valid UEI?
4. How would you expect valid UEI information to be added to this audit submission down the road? [possible probe: where in your process/timeline would it make the most sense?]

[proceed with invalid UEI]

5. What would you do here?
  - a. [probe on FY dates if they don't address it]

### **[Create new audit 3: Auditee submission access page]**

1. Do you typically know who needs access to the audit at this stage?
2. How would you proceed here?

### **[Audit report start page]**

1. What can you tell me about this page?
  - a. What information here is important to you?
  - b. What do you make of the completion date/time columns?

- i. How would this functionality be useful to your workflow?
  - c. Is there any information you feel is missing here?
2. How would you proceed?

## [SF-SAC pages]

The next several pages are the SF-SAC form, and we can move through slightly quicker here.

[General information page]

1. Talk me through how you would use this.
2. Can you explain what you see on this page?
3. Once this information is populated, how would you proceed?

[Federal awards page]

4. Can you explain what you see on this page?
5. Do you enter awards for your auditee?
6. How much do you rely on Excel when going through this section?
7. How does this design compare to how you currently use this page?

[pause prototype & have them open the sample worksheet]

Now I would like you to open the worksheet we had sent you.

1. Could you talk us through how you'd fill in this document at this stage?

[once finished, return to prototype showing filename/uploaded document listed on the page]

1. What would you do next?
2. Imagine that you think you may have uploaded the wrong file. Talk me through how you'd handle that. [possible probe: Let's say you want to upload a different file. What might you try?]

[Notes to SEFA page]

8. Can you explain what you see on this page?
9. Talk me through how you'd go about adding a note.
10. What do you make of the "current notes" selection? What do you expect to see there?

11. How many notes do you typically add?
12. In this scenario, we'd like you to imagine you have an additional note to add. How would you go about doing that? [we want them to click through to the additional notes modal]

[Audit information page]

13. Can you explain what you see on this page?
14. How does this compare to how you currently use this page?

[Award findings page]

15. Can you explain what you see on this page?
16. How does this compare to how you currently use this page?
17. How do you feel about having the option to upload **award findings** in Excel?
  - a. Possible probe: How might having Excel as the only option for inputting this data impact you?

[Findings text page]

18. Can you explain what you see on this page?
19. How does this compare to how you currently use this page?
20. How do you feel about having the option to upload **findings text** in Excel?
  - a. Possible probe: How might having Excel as the only option for inputting this data impact you?

[CAP text page]

21. Can you explain what you see on this page?
22. How does this compare to how you currently use this page?
23. How do you feel about having the option to upload **CAP text** in Excel?
  - a. Possible probe: How might having Excel as the only option for inputting this data impact you?

[Additional EINs page]

24. Can you explain what you can do here?
25. What do you make of the numbers in the upper right?
26. Is there anything you'd expect to be able to do here that you don't see?
- 27.

[Additional UEIs page]

- 28. Can you explain what you see on this page?
- 29. What do you make of the numbers in the upper right?
- 30. Is there anything you'd expect to be able to do here that you don't see?
- 31.

[Secondary auditors page]

- 32. Can you explain what you see on this page?
- 33. What do you make of the names in the upper right?
- 34. Is there anything you'd expect to be able to do here that you don't see?
- 35.

[Finalize page]

- 36. What do you think you can do here?
- 37. What do you expect to see after you click "finalize"?
- 38. Is there anything you'd expect to be able to do here that you don't see?

UEI validation

- 39. Now that we've gone through all of that, Remember how you proceeded without a valid UEI? How would you expect that your auditee's UEI is validated before this audit is submitted?

## 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 auditors. 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.