

# Office of Management and Budget Clearance Package

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## Modernized Internet Employer Identification Number (Mod IEIN) Usability Test



Internal Revenue Service  
Wage & Investment Division

Revision Date:  
July 28, 2006

**Office of Management and Budget Clearance Package  
Modernized Internet Employer Identification Number (Mod IEIN) Usability Test**

**Background**

Phase I of the Internet EIN application provided external customers with a web-based process to submit an SS-4 on-line and receive a provisional EIN in the same session. IEIN CPE, which was implemented in November 2005, provided a backend validation routine that posts approximately 71% of all Internet EIN applications automatically, which is equal to approximately 1.78 million records. However, the remaining 29% (720,000) are processed as paper documents in the same manner as other faxed or mailed receipts. While there are substantial customer benefits to receiving an EIN over the Internet, there are significant IRS benefits to be gained when full functionality of the program application is achieved.

Modernized IEIN will make changes to the front end user interface that will interact with the backend validation piece. If a taxpayer submits information that does not pass all validation checks, the record will reject back to the taxpayer for correction instead of printing out in one of the EIN sites for manual processing. If a taxpayer cannot pass the validation checks, he/she will be asked to fax, mail, or phone in his/her application. Only accepting those applications that pass all validation checks and ensuring the taxpayer provides correct information up front will allow us to obtain 100% automation of internet submissions.

Modernized IEIN will include enhancements to the customer interface that will be very different from the current environment. Instead of inputting information into a PDF-like Form SS-4, the new system will be interactive and will ask questions tailored to the type of entity the taxpayer is establishing. We will also give taxpayers the option to view/print/save their CP-575 notice online as opposed to mailing it to them. Other enhancements include:

- Allow all entity types, both foreign and domestic, to apply online
- Provide Bulk List capabilities
- Provide management information reporting
- Provide help screens along the way so taxpayers don't have to print the instructions and look for answers to their questions
- Conduct validation in a real-time environment

**Research Methodology**

Using criteria provided by the IRS, an external market research firm will recruit two groups of people; we are seeking 8 individuals and 9 tax practitioners (8 individuals and 4 tax practitioners will test the individual application and 6 tax practitioners will test the bulk list application). Participants will be recruited during the week of August 28, 2006, with usability testing being completed the week of September 11, 2006. Both groups will be asked to help test the functionality of the Modernized IEIN web application.

During the tests participants will be provided several specific, representative, tax account scenarios, and they will be encouraged to work through the scenarios by entering the appropriate data into the Mod IEIN screens to attempt to obtain an EIN. The data contained in the scenarios is test data. The test participants will never be asked to supply their own data or any of their personal tax information for purposes of working through the scenarios. The participants will be encouraged to verbally articulate their thought processes, concerns, and reactions.

A team of product specialists and IRS employees will monitor the tests and participant reactions from an observation room. Test team observations are geared toward assessing the performance (design) of the product. Although the information gathered from these test groups will be qualitative and not representative of the entire universe of potential users, it will be instrumental for ensuring that the user interface is intuitive, user-friendly and easy to learn.

Testing sessions are expected to last one hour and will be conducted at the IRS Customer Applications Development Division's Usability Lab facility in Ogden, Utah. This lab is a state-of-the-art facility available for all IRS development projects, and it has been used to test and improve several key IRS technology initiatives, including irs.gov and Free File.

Seven documents are attached that illustrate the process that will be used to conduct the testing sessions. They are as follows:

- Individual participant screener,
- Tax professionals participant screener,
- Confirmation phone call script,
- Participant confirmation letter,
- Moderator checklist,
- Participant consent form, and the
- Pre and post test questionnaire.

These documents, recently used for a similar usability study, have been updated to reflect the specific elements of the Mod IEIN project. Note that the participant confirmation letter will be printed on Consumer Opinion Services, Inc. letterhead paper. The pre and post test questionnaire contains questions that the Usability Lab staff asks the participants before and after the test session. While some of the questions are similar to questions in the participant screeners, they are separately asked as part of the test session.

Three other documents are also attached. They are three of the specific, representative, tax account scenarios that have been developed thus far, and they are subject to some further modification. Several more scenarios will also be developed.

## Stipend

Due to the limited customer population from which to draw, and the technical nature of this test, IRS estimates that \$75 per participant will be necessary to recruit a sufficient number of test participants.

## Tallies and Other Information

The following information is needed to satisfy OMB clearance requirements. It must be provided within 60 days after survey data collection operations or focus group interviews are concluded:

1. **FINDINGS:** A brief summary of significant (important) findings that were evidenced in the results will be provided.
2. **ACTIONS TAKEN OR LESSONS LEARNED:** A brief summary of any actions taken or lessons learned as a result of the findings will be provided.

The following statistics will also be provided:

3. **TAXPAYER PARTICIPATION DATA:**
  - a. **SURVEYS:**
    - i. Number of requests for taxpayer participation
    - ii. Number of questionnaires returned or interviews completed
  - b. **FOCUS GROUPS:**
    - i. Number who received screener questionnaire
    - ii. Number who were invited to participate in the group
    - iii. Number who actually participated in the focus group
4. **DATE THE DATA COLLECTION BEGAN**
5. **DATE THE DATA COLLECTION ENDED**
6. **COST:** Printing, postage, travel, overtime payments, payments to vendors, and any other costs incurred as a direct result of the survey will be provided. (Note: This figure will not include the regular salaries of IRS employees).

## Estimated Burden Hours

- Participant Screening

Participant screening is expected to take approximately 31.25 hours. This estimate assumes that the recruiting firm will need to confirm 25 participants to ensure that at least 17 participants will be able to attend, and that 25 contacts will need to be made to secure each confirmation. Each contact should average three minutes per call, for a total of 31.25 hours, calculated as follows:

$$(25 \text{ participants} \times 25 \text{ contacts} \times 3 \text{ minutes}) / 60 \text{ minutes} = 31.25 \text{ hours}$$

- Testing Sessions and Travel

Seventeen participants are expected to attend the one-hour test sessions plus we estimate 1 hour for travel, for a total of 34 hours, calculated as follows:

$$(17 \text{ participants} \times (1 \text{ hour test session} + 1 \text{ hour travel})) = 34 \text{ hours}$$

- Total Burden

The total burden for this test is 65.25 hours, calculated as follows:

$$\begin{array}{l} 31.25 \text{ hours (participant screening)} \\ \underline{34.00 \text{ hours (test session participation and travel)}} \\ 65.25 \text{ hours} \end{array}$$

### **Participant Privacy and Confidentiality**

The IRS will ensure compliance with the Taxpayer Bill of Rights II. All participants will be treated fairly and appropriately.

Confidentiality will be safeguarded. During the testing sessions, participants will be identified to IRS personnel by their first names only. In addition, no participant names will be mentioned in the focus group report. Participants will be advised that observers from the IRS may be observing the session from behind a one-way mirror and that their comments may be recorded to ensure accurate data capture. Participants will also be given the OMB Control number for this collection, which is 1545-1349, and given an address in which to direct comments. The address is Tax Forms Committee, Western Area Distribution Center, Rancho Cordova, CA 95743.

**Office of Management and Budget  
Clearance Package**

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**Modernized Internet Employer Identification Number  
(Mod IEIN) Usability Test**

**Attachments**

**Modernized Internet Employer Identification Number (Mod IEIN)  
Usability Study  
Individuals Screener  
Job # XXXX**

<b>First Name:</b>	<input type="text"/>	<b>Date</b>	<input type="text"/>
<b>Last Name:</b>	<input type="text"/>		
<b>Male / Female (NOTE AT BEGINNING OF INTERVIEW):</b>	<input type="text"/>		
<b>Address/Location:</b>	<input type="text"/>		
<b>Telephone #'s:</b>	<input type="text"/>	<b>Appt date</b>	<input type="text"/>
	<input type="text"/>	<b>Appt time</b>	<input type="text"/>
<b>Interviewer:</b>	<input type="text"/>		
<b>Comments:</b>	<input type="text"/>		

Hello, I'm \_\_\_\_\_ from Consumer Opinion Services calling on behalf of the Internal Revenue Service. The IRS wants to hear from you. Have you heard about the IRS Web site at IRS DOT GOV? What we would like to do is ask you a few questions to see if you would be able to participate in a 60-minute evaluation of a new Web application that will soon be available on the Web site to allow taxpayers and tax professionals to obtain an EIN electronically.

The IRS is interested in hearing your opinions on the way they've designed this new application. We'd like to schedule you to participate in this evaluation during the week of October 17<sup>th</sup>. I'm calling you because of an IRS research project, and we are not, and will not try to sell you anything. The IRS wants us to find participants for these evaluations. These evaluations are for research purposes only – we just want your opinions. We also want you to know the IRS will NOT use your personal information in anyway, for anything other than the strict usage of it for this particular study.

We would pay you to come to the IRS testing facility and provide your feedback and input on how well it works. Would you be willing to answer a few questions to see if you qualify?

**IF NO, SCHEDULE A TIME TO CALL BACK. IF YES, CONTINUE.**

**REFERENCE THE OMB CONTROL NUMBER AND PRA STATEMENT AS NOTED BELOW BEFORE CONTINUING WITH THE INTERVIEW**

*The Paperwork Reduction Act requires that the IRS display an OMB control number on all public information requests. The OMB Control Number for this study is #1545-1349. Also, if you have any comments regarding the time estimates associated with this study or suggestions on making this process simpler, please write to:*

*Internal Revenue Service  
Tax Products Coordinating Committee  
SE:W:CAR:MP:T:T:SP  
1111 Constitution Ave. NW  
Washington, DC 20224*

Because we are seeking a wide variety of people, let me start by asking you some questions about yourself...

1. Have you ever taken part in a market research interview or usability study, either one-on-one or in a focus group type setting?

YES or NO - **IF NO, SKIP TO Q-3**

2. When was the last time you participated in a market research interview or usability study?

YES or NO - **TERMINATE IF LESS THAN 6 MONTHS**

3. Do you or any member of your immediate family currently work for, or did they ever work for any of the following?

<input type="checkbox"/>	Marketing, Market Research Firm
<input type="checkbox"/>	Advertising
<input type="checkbox"/>	Web Site Design Company

YES or NO - **IF YES TO ANY, TERMINATE**

For a city, state or federal government agency? If so, which one?

YES or NO - **IF IRS, TERMINATE**

4. Do you have access to the internet where you can use it for your own personal use?

YES or NO - **IF NO, TERMINATE**



5. On a scale of 1 to 5 where 1 means "not at all comfortable" and 5 means "very comfortable," how comfortable are you with...

**TERMINATE IF 1 or 2**

using a mouse	1	2	3	4	5
using a keyboard	1	2	3	4	5
using the Internet	1	2	3	4	5
using a scroll bar	1	2	3	4	5

6. Do you use the Internet to do any of the following?

e-commerce (Web shopping)	YES	NO
Web site surfing	YES	NO
pay bills online	YES	NO
work related reasons	YES	NO
Research	YES	NO
online banking	YES	NO
pay taxes online/software	YES	NO

7. Are you employed?

YES or NO - **IF NOT EMPLOYED SKIP TO Q-8**

<input type="checkbox"/>	Full Time or Part Time outside the home	<b>NEED 4</b>
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- 7a. If employed:

What is your occupation? \_\_\_\_\_

What industry are you in? \_\_\_\_\_

**GET A GOOD MIX OF DIFFERENT OCCUPATIONS AND INDUSTRIES**

8. If not employed, are you:

<input type="checkbox"/>	Retired
<input type="checkbox"/>	Student
<input type="checkbox"/>	Homemaker
<input type="checkbox"/>	In between jobs

**GET AT LEAST 2 NOT EMPLOYED.**

9. What is the highest level of education you have completed?

**DO NOT READ ANSWER CHOICES - GET A MIX**

<input type="checkbox"/>	Some high school or less
<input type="checkbox"/>	High school graduate
<input type="checkbox"/>	Some college, vocational or trade school
<input type="checkbox"/>	College graduate
<input type="checkbox"/>	Graduate school

10. Can you please tell me which of the following categories your age falls into?

**GET A MIX - NO MORE THAN ONE PER AGE GROUP**

- Under 18      **TERMINATE**
- 18-29
- 30-39
- 40-49
- 50-59
- 60-65
- 66+

11. On a scale of 1 to 5 where 1 is "not at all knowledgeable" and 5 is "extremely knowledgeable," how much do you know and understand about federal income taxes and procedures such as filling out tax forms, etc.

1	2	3	4	5
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**TERMINATE IF 1 – GET A MIX**

12. Have you currently, or in the past, personally prepared an income tax return for yourself or your family?

YES or NO - **IF NO, TERMINATE**

13. Do you currently use a professional tax preparer?

YES or NO - **IF YES, TERMINATE**

14. Have you ever visited the Web site IRS DOT GOV?

YES or NO - **IF NO, SKIP TO Q-19**

15. What was the nature of your visit to the Web site?

<input type="checkbox"/>	to find forms
<input type="checkbox"/>	to review tax regulations
<input type="checkbox"/>	to find phone numbers
<input type="checkbox"/>	file downloads
<input type="checkbox"/>	online tax tools
<input type="checkbox"/>	Other _____

16. Approximately how long was the duration of time for your visit to the Web site?

<input type="checkbox"/>	less than 15 minutes
<input type="checkbox"/>	15 minutes to 30 minutes
<input type="checkbox"/>	30 minutes to 1 hour
<input type="checkbox"/>	longer than 1 hour

17. How many times have you visited the Web site? \_\_\_\_\_

18. Was the information you were seeking on the Web site different depending on the season?  
 (such as tax filing season or calculating income tax withholding changes)  
 YES or NO

19. What ways have you ever contacted the IRS?

<input type="checkbox"/>	visited a local branch
<input type="checkbox"/>	phone call
<input type="checkbox"/>	spoken with a specific representative

Thank you, the following questions are for classification purposes only.

20. What is your current marital status? **RECRUIT A MIX of statuses**

<input type="checkbox"/>	Single
<input type="checkbox"/>	Married/Living with partner
<input type="checkbox"/>	Widowed
<input type="checkbox"/>	Divorced/Separated

**RECRUIT to obtain the following targeted participants:**

- a. Retired/or Senior Citizen, Student, underemployed, etc.....2 Maximum
- b. Employed .....3 Maximum

**RECRUIT A MIX of men and women**

Thank you for answering my questions. Your responses to the questions I have asked have prompted me to inquire if you would be interested in further helping by participating in a paid research project. You will receive \$75, simply for sharing more of your opinions with us in a 60-minute evaluation.

This is how our process works: As part of our research, we will be conducting evaluations sessions with a number of people in your area similar to yourself. You would be attempting tasks on a Web site, and discussing your experiences with that Web site. Let me stress again that these evaluations are for research purposes only – we just want your opinions. We also want you to know the IRS will NOT in anyway use your personal information for anything other than the strict usage of it for this particular study. The IRS is just interested in finding out your opinions on the way they have designed their Web site. Most importantly we want to ensure the system is easy to use and helpful to taxpayers.

These evaluation sessions will be held on (DATE, TIME) at 1001 South 1200 West, Ogden UT. They will last approximately 60 minutes. Would you be available for that particular date and time?

- NO .....  **POLITELY DISCONTINUE**
- YES .....  **CONTINUE**

Do you have any questions up to this point?  
**(Answer inquiries appropriately and thoroughly)**

Do you have any special needs for coming to our facility?  
**(Answer inquiries appropriately and thoroughly)**

Again, let me thank you for your participation. This research is important to all of us, and your help and participation is highly appreciated. Here are the rest of the steps in the process:

After I have gathered your information, we will mail you a confirmation letter and map to the testing facility. You will also receive a follow-up / reminder call prior to the evaluation session. In a moment, I will need your name and address, as well as a phone number where you can be reached during the day and in the evening.

We will give you a reminder call prior to your scheduled appointment on **(DATE, TIME)** to re-confirm that you will be attending and that you have no further questions. If we are unable to reach you and we leave a message, please call us back. Because we only schedule a limited number of sessions, and invite a limited number of research participants, it is our policy to continue calling until we do confirm your attendance.

Should something change in your participation availability, please phone our call center at 1-888-XXX-XXXX and reference XXXXX.

**Modernized Internet Employer Identification Number (Mod IEIN)  
Usability Study  
Tax Professionals Screener  
Job # XXXX**

<b>First Name:</b>	<input type="text"/>	<b>Date</b>	<input type="text"/>
<b>Last Name:</b>	<input type="text"/>		
<b>Male / Female (NOTE AT BEGINNING OF INTERVIEW):</b>	<input type="text"/>		
<b>Address/Location:</b>	<input type="text"/>		
<b>Telephone #'s:</b>	<input type="text"/>	<b>Appt date</b>	<input type="text"/>
<b>Interviewer:</b>	<input type="text"/>	<b>Appt time</b>	<input type="text"/>
<b>Comments:</b>	<input type="text"/>		

Hello, I'm \_\_\_\_\_ from Consumer Opinion Services calling on behalf of the Internal Revenue Service. We are currently seeking out decision makers and persons who have involvement with the tax preparations for their place of business.

The IRS wants to hear from you. Have you heard about the IRS Web site at IRS DOT GOV? What we would like to do is ask you a few questions to see if you would be able to participate in a 90-minute evaluation of a new Web application that will soon be available on the Web site to allow taxpayers and tax professionals to sign up for payment agreements. The IRS is interested in hearing your opinions on the way they've designed this new application. We'd like to schedule you to participate in this evaluation during the week of October 17<sup>th</sup>. I'm calling you because of an IRS research project, and we are not, and will not try to sell you anything. The IRS wants us to find participants for these evaluations. These evaluations are for research purposes only – we

just want your opinions. We also want you to know the IRS will NOT use your personal information in anyway, for anything other than the strict usage of it for this particular study. These evaluations are for research purposes only – we just want your opinions. We also want you to know the IRS will NOT in anyway use your personal information for anything other than the strict usage of it for this particular study.

We would pay you to come to the IRS testing facility and provide your feedback and input on how well it works. Would you be willing to answer a few questions to see if you qualify?

**IF NO, SCHEDULE A TIME TO CALL BACK. IF YES, CONTINUE.**

**REFERENCE THE OMB CONTROL NUMBER AND PRA STATEMENT AS NOTED BELOW BEFORE CONTINUING WITH THE INTERVIEW**

*The Paperwork Reduction Act requires that the IRS display an OMB control number on all public information requests. The OMB Control Number for this study is #1545-1349. Also, if you have any comments regarding the time estimates associated with this study or suggestions on making this process simpler, please write to:*

*Internal Revenue Service  
Tax Products Coordinating Committee  
SE:W:CAR:MP:T:T:SP  
1111 Constitution Ave. NW  
Washington, DC 20224*

Because we are seeking a wide variety of people, let me start by asking you some questions about yourself...

- 1. Do you currently conduct professional tax preparations?  
YES - **CONTINUE**                      NO - **TERMINATE**
- 2. Have you ever acted as a Power of Attorney for your clients?  
YES - **CONTINUE**                      NO - **TERMINATE**
- 3. What size of Tax Preparation Company do you work for?  
**RECRUIT A MIX IF POSSIBLE**

<input type="checkbox"/>	1 – 10 Employees
<input type="checkbox"/>	0 – 50 Employees
<input type="checkbox"/>	50 – 1000 Employees
<input type="checkbox"/>	1000 + Employees

- 4. Have you ever taken part in a market research interview or usability study, either one on one or in a focus group type setting? **IF NO, SKIP TO Q-6**

5. When was the last time you participated in a market research interview or usability study?  
**TERMINATE IF LESS THAN 6 MONTHS**
6. Do you or any member of your immediate family currently work for or did they ever work for any of the following?

<input type="checkbox"/>	Marketing, Market Research Firm
<input type="checkbox"/>	Advertising
<input type="checkbox"/>	Web Site Design Company

**IF YES TO ANY, TERMINATE**

<input type="checkbox"/>	For a city, state or federal government agency? If so, which one?
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**IF IRS, TERMINATE**

7. Do you have access to the internet at your company? **IF NO, TERMINATE**
8. On a scale of 1 to 5 where 1 means 'not at all comfortable' and 5 means 'very comfortable', how comfortable are you with...

**TERMINATE IF 1 or 2**

using a mouse	1	2	3	4	5
using a keyboard	1	2	3	4	5
using email	1	2	3	4	5
using the Internet	1	2	3	4	5

9. Do you use the Internet to do any of the following?

e-commerce (Web shopping)	YES	NO
Web site surfing	YES	NO
pay bills online	YES	NO
work related reasons	YES	NO
research	YES	NO
online banking	YES	NO
pay taxes online/software	YES	NO

10. Have you ever visited the Web site IRS DOT GOV? **IF NO, SKIP TO Q-15**

11. What was the nature of your visit to the Web site?

<input type="checkbox"/>	to find forms
<input type="checkbox"/>	to review tax regulations
<input type="checkbox"/>	to find phone numbers
<input type="checkbox"/>	file downloads
<input type="checkbox"/>	online tax tools
<input type="checkbox"/>	Other _____

12. Approximately how long was the duration of time for your visit to the Web site?

<input type="checkbox"/>	less than 15 minutes
<input type="checkbox"/>	15 minutes to 30 minutes
<input type="checkbox"/>	30 minutes to 1 hour
<input type="checkbox"/>	longer than 1 hour

13. How many times have you visited the Web site? \_\_\_\_\_

14. Was the information you were seeking on the Web site different depending on the season?  
(such as quarterly filing or tax law changes)  
YES or NO

15. What ways have you ever contacted the IRS?

<input type="checkbox"/>	visited a local branch
<input type="checkbox"/>	phone call
<input type="checkbox"/>	spoken with a specific representative

**RECRUIT to obtain 3 Tax Professionals (Tax Practitioners)**

**RECRUIT A MIX of men and women**

Thank you for answering my questions. Your responses to the questions I have asked have prompted me to inquire if you would be interested in further helping by participating in a paid research project. You will receive \$75, simply for sharing more of your opinions with us in a 90 minute evaluation.

This is how our process works: As part of our research, we will be conducting evaluation sessions with a number of people in your area similar to yourself. You would be attempting tasks on a Web site and discussing your experiences with that Web site. Let me stress again that these evaluations are for research purposes only – we just want your opinions. We also want you to know the IRS will NOT in any way use your personal information for anything other than the strict usage of it for this particular study. The IRS is just interested in finding out your opinions on the way they have designed their Web site. Most importantly we want to ensure the system is easy to use and helpful to taxpayers.

These evaluation sessions will be held on (DATE) (TIME) at 1001 South 1200 West, Ogden UT. They will last approximately 90 minutes. Would you be available for that particular date and time?

No.....  **POLITELY DISCONTINUE**  
Yes.....  **CONTINUE**

Do you have any questions up to this point?  
**(Answer inquiries appropriately and thoroughly).**

Do you have any special needs for coming to our facility?  
**(Answer inquiries appropriately and thoroughly).**



Again, let me thank you for your participation. This research is important to all of us, and your help and participation is highly appreciated. Here are the rest of the steps in the process:

After I have gathered your information, we will mail you a confirmation letter and map to our facility. You will also receive a follow-up / reminder call prior to the interviews. In a moment, I will need your name and address, as well as a phone number where you can be reached during the day and in the evening.

We will give you a reminder call prior to your scheduled appointment on (DATE) (TIME) to re-confirm that you will be attending and that you have no further questions. If we are unable to reach you and we leave a message, please call us back. Because we only schedule a limited number of sessions, and invite a limited number of research participants, it is our policy to continue calling until we do confirm your attendance.

Should something change in your participation availability, please phone our call center at 1-888-XXX-XXXX and reference "XXXXX".

## Confirmation Phone Call Script

Good morning/afternoon, I am calling to confirm your participation in our upcoming research usability study for the Internal Revenue Service about the Modernized IEIN site.

**Reference the OMB Control Number and PRA Statement as noted below before continuing with the interview:**

The Paperwork Reduction Act requires that the IRS display an OMB control number on all public information requests. The OMB Control Number for this study is #1545-1349. Also, if you have any comments regarding the time estimates associated with this study or suggestions on making this process simpler, please write to:

Internal Revenue Service  
Tax Products Coordinating Committee  
SE:W:CAR:MP:T:T:SP  
1111 Constitution Ave. NW  
Washington, DC 20224

Did you receive a package from us with the date and time of your interview and directions to the site?

- Yes .....  **Confirm Date and Time are OK and that Directions are clear (see below). Verify that they have transportation to get to the facility.**
- No.....  **Detail the appointment [See below] and ask if they have FAX # or email address that you can send the information to.**

<b>DATE:</b> (insert date)
<b>TIME:</b> (insert time)
<b>LOCATION:</b> IRS Western Development Center 1001 South 1200 West, Ogden UT
<b>DIRECTIONS:</b> Do not go to the main IRS building but rather to the building called "Ogden Development Center". Walk through the south door and wait in the lobby. Contact Jana Roberts at 801.620.4283 or Debbie Martinez at 801.620.4004 if you get lost.
<b>LENGTH:</b> 2 hours (including travel time and 60 minute interview)

Please check in 15 minutes before the session start time to ensure that we proceed on schedule. Please bring your photo ID upon check-in. If you use reading glasses, please bring these with you.

We have invited only a limited number of people, and we are counting on your timely attendance and participation for completion of our study. There is no back up person to participate if you do not show up to the research study, so it is very important that you keep your commitment. Should something change in your participation availability, please phone our call center at 1-888-xxx-xxxx and reference "Release 3.0 Usability Study".

All of our interviews are conducted strictly for research. At no time will someone attempt to sell you any product or service, nor will your name be supplied to any manufacturer for sales purposes. Your honorarium of \$75 will be paid at the end of your interview.

Do you have any questions?

**[ANSWER INQUIRIES APPROPRIATELY AND THOROUGHLY]**

Again, thank you for your time and we look forward to seeing you on **[day of week]** at **[time]**.

## Consumer Opinion Services, Inc. Participant Confirmation Letter

August XX, 2006

Dear \_\_\_\_\_,

Thank you for agreeing to participate in our upcoming research usability study for the Internal Revenue Service about the Modernized Internet Employer Identification Number (Mod IEIN). We want to assure you that this is only a research study and your identity will remain anonymous. We just want you to navigate within the online system to ensure it is user-friendly and helpful to taxpayers.

All of our interviews are conducted strictly for research. At no time will someone attempt to sell you any product or service, nor will your name be supplied to any manufacturer for sales purposes.

*Your appointment is as follows:*

<p><b>DATE:</b> <i>(insert date)</i></p> <p><b>LOCATION:</b> <i>IRS Western Development Center 1001 South 1200 West, Ogden UT</i></p> <p><b>TIME:</b> <i>(insert time)</i></p> <p><b>LENGTH:</b> <i>1 hours (60 minutes)</i></p> <p><b>HONORARIUM:</b> <i>\$75.00</i></p> <p><b>DIRECTIONS:</b> <i>Do not go to the main IRS building but rather go to the building called "Ogden Development Center." Walk through the south door and wait in the lobby.</i></p> <p><i>Contact Shawn Tafoya at 801.620.4060 if you get lost. See enclosure.</i></p> <p><b><i>Please check in 15 minutes before the session start time to ensure that we can proceed on schedule.</i></b></p>
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We have invited only a limited number of people (about eight) and we are counting on your timely attendance and participation for completion of our study. There is no back-up person to participate if you do not show up to the research study, so it is very important that you keep your commitment. You will be alone in a room, and the Usability Lab staff will be observing you while you are testing the Modernized Internet Employer Identification Number (Mod IEIN) system. Your opinions are very important to the IRS, as they will act on what you have to say.

*If for any reason you cannot make this appointment, please call us upon receipt of this letter so that we may find a replacement for you before the day of the test.*

*Please bring a document displaying your photograph to establish your identity. Your photo ID will need to be presented upon check-in. If you use reading glasses, please bring them with you. Also, because of limited space, please do not bring children or others along with you, as we will not be able to accommodate them. Only the people we have contacted and accepted into the research study will be allowed to enter the Usability Lab.*

Your honorarium will be paid at the end of your interview.

Again, thank you for your time, and remember, ***your opinion counts!***

Sincerely,

xxxxxxxxxxxxxx  
Call Center Manager  
Ref #xxxxxxOPA

## **Moderator Checklist for Mod IEIN Usability Test Sessions**

1. Look at and remember the participant's name prior to going to meet him/her.
2. Introduce yourself and other team members who might interact with the participant (i.e., logger, observation facilitator.)
3. Ask if the participant would like something to drink and/or to use the restroom.
4. Ask the participant to read and sign the consent form.
5. *Talking points to cover in verbal session overview:*
  - Discuss the purpose of usability testing / this usability test.
  - Inform the participant that the session will be videotaped and audiotaped (as mentioned in consent form).
  - Ask the participant to wear a microphone.
  - Explain that people will be observing from behind the mirror (and remotely, if applicable) and that they will see what is happening on the computer screen and the video from the video camera.
  - Remind participant to "think-aloud" – ask the participant to provide a running commentary about what he/she is doing at all times in the site, and that it may seem awkward but to try to talk as much as possible.
  - Remind the participant that he/she is helping us evaluate the site - we are not evaluating him/her
6. Instruct the participant to read the first page of the participant package which explains they will work through several specific, representative, tax account scenarios by entering the appropriate data into the Mod IEIN screens to attempt to obtain an EIN electronically.
7. Ask the participant if he/she has any questions.
8. Ask the participant to turn the page - you, the moderator, read the first scenario introduction aloud. Ask the participant to begin to enter the scenario data into the Mod IEIN application screens.
9. After the participant completes each scenario, ensure that the participant completes the post-scenario questions, and discuss his/her responses with him/her.
10. After each scenario, check whether more than 20 minutes of session time remains. If so, let participant proceed to next scenario. If not, ensure that the participant completes post-test questionnaire, and discuss his/her responses with him/her.
11. Ask if he/she has any other comments about the Mod IEIN application.
12. Have the participant sign the receipt form and record the honorarium check number on the signed form.

## Participant Consent Form

The purpose of this test is to help us evaluate how easy or difficult it is for people to obtain an Employer Identification Number (EIN) online on the IRS.gov Web site, and to identify ways we can change the site to make these tasks easier. By participating in this study, you will help us shape the future of the Modernized Internet Employer Identification Number (Mod IEIN) Web application on the IRS.gov Web site.

This session will take approximately 1 hour. While you evaluate the Mod IEIN Web site, you will be encouraged to work through several specific, representative, tax account scenarios by entering the appropriate data into the Mod IEIN screens to attempt to obtain an EIN electronically.

You will then be asked some questions after you have completed each scenario. You will also be encouraged to verbally articulate your thought processes, concerns, and reactions. The session will be video taped using microphones, a video camera, and a device to videotape the computer screen.

Your participation is completely voluntary. You may stop at any time. You do not have to work through any of the scenarios if you do not want to. You do not have to answer any questions if you do not want to. Your answers will be kept completely confidential for the purpose of this test.

If you agree to help us, please sign below.

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***(Signature)***

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***(Date)***

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***(Print Name)***

## Usability Tool Pre Test Questions

### Demographics

What is your gender?

Female

Male

What is your age?

18-39

40-59

60-75

How much education have you completed?

High school or less

Some college

College degree

Advanced Degree

### Experience

How many years have you used a computer?

Less than 1 year

1 to 4 years

5 to 9 years

10 years or more

How many times per week do you use a computer?

Less than 1 hour a week

1-10 hours a week

11-20 hours a week

21 or more hours a week

How many years have you used the Internet for things other than just email?

Less than 1 year

1 to 4 years

5 to 9 years

10 years or more

How many times per week do you use the Internet (Web)?

Less than 1 hour a week

1-10 hours a week

11-20 hours a week

21 or more hours a week



## Usability Tool Post Test Questions

### Satisfaction Survey

1. I think I would like to use this Web application to obtain an Employer Identification Number (EIN).
  - Strongly agree
  - Agree
  - Neutral
  - Disagree
  - Strongly disagree
  
2. I found the Web application unnecessarily complex.
  - Strongly agree
  - Agree
  - Neutral
  - Disagree
  - Strongly disagree
  
3. I thought the Web application was easy to use.
  - Strongly agree
  - Agree
  - Neutral
  - Disagree
  - Strongly disagree
  
4. I think I would need help sometimes to be able to effectively use this Web application.
  - Strongly agree
  - Agree
  - Neutral
  - Disagree
  - Strongly disagree
  
5. I found that the various functions in this Web application were well integrated.
  - Strongly agree
  - Agree
  - Neutral
  - Disagree
  - Strongly disagree
  
6. I thought there was too much inconsistency in this Web application.
  - Strongly agree
  - Agree
  - Neutral
  - Disagree
  - Strongly disagree
  
7. I would imagine that most people would learn to use this Web application very quickly.
  - Strongly agree
  - Agree
  - Neutral
  - Disagree
  - Strongly disagree

8. I found this Web application very cumbersome to use.

- Strongly agree
- Agree
- Neutral
- Disagree
- Strongly disagree

9. I felt very confident using this Web application.

- Strongly agree
- Agree
- Neutral
- Disagree
- Strongly disagree

10. I will need to learn a lot about this Web application before I could effectively use it.

- Strongly agree
- Agree
- Neutral
- Disagree
- Strongly disagree

*The OMB Control Number for this study is #1545-1349. Also, if you have any comments associated with this study or suggestions on making this process simpler, please write to:*

*Internal Revenue Service  
Tax Products Coordinating Committee  
SE:W:CAR:MP:T:T:SP  
1111 Constitution Ave. NW  
Washington, DC 20224*

### Sole Proprietor Scenario (Scenario 1)

You are starting your own business on January 1, 2007 and your bank requires you to have an EIN to open a business checking account. You don't have any employees and don't plan to hire any, but you still need to provide your bank with an EIN for your individual business. Your bank suggested you use the Modernized Internet Employer Identification Number (Mod IEIN) website at [www.irs.gov](http://www.irs.gov) to get this number. To complete this scenario you may need the following information:

#### Taxpayer Account Information

Your Social Security Number	031-54-9901
Your First Name	Thomas
Your Middle Name/Initial	D
Your Last Name	Jones

#### Taxpayer's Address

Street Number	1000 N Wall
City/Town	Ogden
State	Utah
Zip Code	84404
Phone Number	801 555 1234

#### Additional Information

Trade Name	Tom Jones Plumbing
Principal Business Activity	Plumbing
Principle products produced or sold, Work done, or services provided	Plumbing
View & Print or Mail Confirmation Letter Survey	View & Print Take Survey

## Estate Scenario (Scenario 2)

Your uncle Bill has passed away and you have been named the executor of his estate. You have heard that you need an EIN for the estate and you found saw on the [www.irs.gov](http://www.irs.gov) website that you can obtain one by either filling out a Form SS-4 and mailing it to the IRS, calling a 1-800 number, or applying online. The online option seems to be the easiest, so you decide to try it. To complete this scenario you may need the following information:

### Decedent's Information

Decedent's Social Security Number	123-45-6789
Decedent's First Name	William
Decedent's Last Name	Baily

### Estate Location

Responsible Party	Jason Smith
Address	123 N Mockingbird Ln
City	Layton
State	Utah
Zip Code	84065
Phone Number	801 555 3204

### Mailing Address

Address	PO Box 1199
City	Layton
State	Utah
Country	United States of America
Zip Code	84065

### Additional Information

Executor Title	Executor
Administrator First Name	Jason
Last Name	Smith
County	Davis
ST	UT
Date of Death	August 2006
Closing Month of Accounting Year	December
Employees?	No
View & Print or Mail Confirmation Letter Survey	Mail Skip Survey

### Multi Member LLC Scenario (Scenario 3)

You and your business partner are going into business together and you've heard that LLCs get better tax benefits. You have gone through your state department to establish your LLC and you are now ready to get a federal Employer Identification Number (EIN) so you can pay your federal taxes and send payments for taxes withheld from your employees. You go to [www.irs.gov](http://www.irs.gov) to see how to apply for an EIN and you realize that you can apply online and receive an EIN immediately. To complete this scenario you may need the following information:

#### Primary Member's Information

Primary Member's Social Security Number	987-65-4321
Primary Member's First Name	Sharon
Primary Member's Middle Name/Initial	Elizabeth
Primary Member's Last Name	Walker

#### LLC Information

# of Members	2
File as Corporation or Sub Chapter S	Corp
Are you one of the members?	Yes

#### Company's Address

Address	900 S Main St
City	Brigham City
State	Utah
Zip Code	84302
Phone Number	435 555 6699

#### Mailing Address

Same as above

#### Additional LLC Information

Legal Name	Walker & Walker Consulting LLC
Trade Name	Same as above
County	Box Elder
ST	UT
Business Start Date	October 1, 2006
Principal Business Activity	Other
If Other, specify	Consulting
Principle products produced or sold, Work done, or services provided	Consulting
Employees?	Yes

#### Describe Your Employees

First Date Wages Paid	January 2007
Highest # of Employees	Other = 10
\$4000 or less?	No

#### Miscellaneous Information

View & Print or Mail Confirmation Letter	View & Print
Survey	Take Survey

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All of the data is test data. The test participants will never be asked to supply their own data or any of their personal tax information.