# Request for Approval under the "Generic Clearance for the Collection of Routine Customer Feedback" (OMB Control Number: 1545-2256)

**TITLE OF INFORMATION COLLECTION:** Third Party Credential Authentication Usability Study

**PURPOSE:**

The purpose of this study is to assess the usability and user satisfaction of using third party credentials to access IRS services. The study will test a notional prototype of an alternative flow for IRS eAuthentication, which will includes a start page and bank credentials.

The participant's performance with each page of the form will be recorded and evaluated. Measures such as time on task, task success, participant understanding of content, help and error text will be captured. Qualitative data on user perception and satisfaction of using third party credentials to access IRS services will also be noted. Collecting this data will provide the study with:

- Behavioral observations and insights into the user experiences
- Insights into design solutions to improve and strengthen the user experience
- Benchmark information on the current experience that can be used as a guide for future online developments
- Insights into how people perceive using third party credentials when accessing IRS online services.

Two testing methods will be employed using the same task and questionnaires. A moderated usability study with up to 24 participants will be used to gain in depth insights into the usability and perception of using a third party credential. An online, un-moderated study using software like Loop11 or OptimalSort (software decision pending) with up to 300 participants will capture additional data to verify usability metrics, satisfaction and perception data found in the moderated sessions.

No PII will be used in this study. Participants of the moderated sessions will be provided with fake credentials (both fake personal details and bank credentials) and fake personal information created for the study. For un-moderated sessions, text input into fields will be disabled.

**DESCRIPTION OF RESPONDENTS**:

We will recruit individual taxpayers representing a wide spectrum of online behavior. Participants will be individuals who have filed taxes at least once, typically spend at least 20 hours a month online, and have access to their bank online. By setting a low threshold we hope to avoid participants who are not likely use our online services and yet allow the study to reach out to a diverse group of taxpayers.

**TYPE OF COLLECTION:** (Check one)

[ ] Customer Comment Card/Complaint Form
[x] Usability Testing (e.g., Website or Software)
[ ] Focus Group
[ ] Customer Satisfaction Survey
[ ] Small Discussion Group
[ ] Other:

**CERTIFICATION:**

I certify the following to be true:

1. The collection is voluntary.
2. The collection is low-burden for respondents and low-cost for the Federal Government.
3. The collection is non-controversial and does <u>not</u> raise issues of concern to other federal agencies.
4. The results are <u>not</u> intended to be disseminated to the public.
5. Information gathered will not be used for the purpose of <u>substantially</u> informing <u>influential</u> policy decisions.
6. The collection is targeted to the solicitation of opinions from respondents who have experience with the program or may have experience with the program in the future.

Name: Nadia Bazarov, Contact: nadia.bazarov@irs.gov

To assist review, please provide answers to the following question:

**Personally Identifiable Information:**
1. Is personally identifiable information (PII) collected? [ ] Yes [x] No
2. If Yes, will any information that is collected be included in records that are subject to the Privacy Act of 1974? [ ] Yes [ ] No
3. If Yes, has an up-to-date System of Records Notice (SORN) been published? [ ] Yes [ ] No

**Gifts or Payments:**
Is an incentive (e.g., money or reimbursement of expenses, token of appreciation) provided to participants? [x] Yes [ ] No

A $40 incentive will be provided to all participants of the moderated study to cover their time and any travel expenses.

No incentive will be provided to those who participate in the online, un-moderated study.

**BURDEN HOURS**

| Category of Respondent | No. of Respondents | Participation Time | Burden Hours |
|---|---|---|---|
| Potential Individual Participants - moderated | 48 | 10 minutes | 8 |
| Individual Participants - moderated | 24 | 80 minutes | 32 |
| Potential Individual Participants – un-moderated | 300 | 8 minutes | 40 |
| Individual Participants – un-moderated | 200 | 18 minutes | 60 |
| **Totals** | | | **140** |

**FEDERAL COST:** The estimated annual cost to the Federal government is $960.

**If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:**

**The selection of your targeted respondents**

1. Do you have a customer list or something similar that defines the universe of potential respondents and do you have a sampling plan for selecting from this universe?
   [ ] Yes [ ] No

   If the answer is yes, please provide a description of both below (or attach the sampling plan)? If the answer is no, please provide a description of how you plan to identify your potential group of respondents and how you will select them?

**Administration of the Instrument**

1. How will you collect the information? (Check all that apply)
   [x] Web-based or other forms of Social Media
   [ ] Telephone
   [x] In-person
   [ ] Mail
   [ ] Other, Explain
2. Will interviewers or facilitators be used? [x] Yes [ ] No

**Please make sure that all instruments, instructions, and scripts are submitted with the request.**

# Instructions for completing Request for Approval under the "Generic Clearance for the Collection of Routine Customer Feedback"

**TITLE OF INFORMATION COLLECTION:** Provide the name of the collection that is the subject of the request. (e.g. Comment card for soliciting feedback on xxxx)

**PURPOSE:** Provide a brief description of the purpose of this collection and how it will be used. If this is part of a larger study or effort, please include this in your explanation.

**DESCRIPTION OF RESPONDENTS**: Provide a brief description of the targeted group or groups for this collection of information. These groups must have experience with the program.

**TYPE OF COLLECTION:** Check one box. If you are requesting approval of other instruments under the generic, you must complete a form for each instrument.

**CERTIFICATION:** Please read the certification carefully. If you incorrectly certify, the collection will be returned as improperly submitted or it will be disapproved.

**Personally Identifiable Information:** Provide answers to the questions. Note: Agencies should only collect PII to the extent necessary, and they should only retain PII for the period of time that is necessary to achieve a specific objective.

**Gifts or Payments:** If you answer yes to the question, please describe the incentive and provide a justification for the amount.

**BURDEN HOURS:**
**Category of Respondents:** Identify who you expect the respondents to be in terms of the following categories: (1) Individuals or Households; (2) Private Sector; (3) State, local, or tribal governments; or (4) Federal Government. Only one type of respondent can be selected per row.
**No. of Respondents:** Provide an estimate of the Number of Respondents.
**Participation Time:** Provide an estimate of the amount of time (in minutes) required for a respondent to participate (e.g. fill out a survey or participate in a focus group)
**Burden:** Provide the Annual burden hours: Multiply the Number of Respondents and the Participation Time then divide by 60.

**FEDERAL COST:** Provide an estimate of the annual cost to the Federal government.

**<u>If you are conducting a focus group, survey, or plan to employ statistical methods, please provide answers to the following questions:</u>**

**The selection of your targeted respondents.** Please provide a description of how you plan to identify your potential group of respondents and how you will select them. If the answer is yes, to the first question, you may provide the sampling plan in an attachment.

**Administration of the Instrument:** Identify how the information will be collected. More than one box may be checked. Indicate whether there will be interviewers (e.g. for surveys) or facilitators (e.g., for focus groups) used.

**Submit all instruments, instructions, and scripts are submitted with the request.**