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Checklist for Assessment of Implemented Governmental e-Services

This Checklist is designed to offer guidance to records managers and archivists in businesses, government agencies or other organizations to assess the implemented governmental e-services in the context of trusting e-services and the data they are holding and preserving. It is the result of a study in the international InterPARES Trust Research Project (https://interparestrust.org), EU09: Comparative Analysis of Implemented Governmental e-Services.

The set of questions in the checklist is considered as sufficient to provide enough information on an e-service in order for the users to consider the e-service as responsible, reliable, accurate, secure, transparent and trustworthy as well as that it considers privacy issues, duties to remember (i.e. digital preservation), and the right to be forgotten (i.e. safe deletion). The research team believes that the developed checklist can on one side provide guidance for the users and on the other side function as guidelines for the e-service providers on what information about the e-service they should put online.

The checklist consists of 52 questions divided into 6 categories as follows:

1. Basic service information (11 questions)
2. Users (7 questions)
3. Business optimization (4 questions)
4. Technological solutions (14 questions)
5. Storage and long-term content availability (10 questions)
6. System operation transparency (6 questions)

The key question, by which it should be determined whether to proceed with the analysis of an e-service or not, is the question number 5 – determination of the level of informatization. In order to proceed, the e-service needs to be at a maturity level 2 or higher. If it is lower, it is not considered an e-service. The maturity ranking is as follows:

Maturity level	Level	Description
0	No information available	Information is not available online or service provider does not have web page.
1	Information	Only information about the service is available online (e.g. description of a procedure).
2	One-way interaction	Downloadable forms are available online. Empty forms could be filled in using computer or could be printed.
3	Two-way interaction	Forms could be filled in online for which authentication is needed. By submitting online form a service is initiated.
4	Transaction	A complete service is available online – fillable online forms, authentication, payment, delivery or other types of complete services.
5	Iteration	Iterative services (e.g. obligatory statistical reporting) which are automatically initiated, and are creating automatic reports on a service being completed.

Further, governmental e-services could be categorized according to the document *Digitizing Public Services in Europe: Putting ambition into action*, a 9th Benchmark Measurement by European Commission from December 2010 which describes a "representative basket of 20 services" and divides them into two main groups – e-services for citizens, or G2C (Government to Citizens, 12 services), and e-services for businesses, or G2B (Government to Business, 8 services) as follows:

e-Services for Citizens (C1-C12)
1. Income taxes
2. Job search
3. Social security benefits
4. Personal documents
5. Car registration
6. Application for building permission
7. Declaration to the police
8. Public libraries
9. Birth and marriage certificates
10. Enrolment in higher education
11. Announcement of moving
12. Health-related services

e-Services for Businesses (B1-B8)
1. Social contribution for employees
2. Corporate tax
3. VAT (Value Added Tax)
4. Registration of a new company
5. Submission of data to the statistical office
6. Custom declaration
7. Environment-related permits
8. Public procurement

Another categorization may be used as well.

Checklist for Assessment of Implemented Governmental e-Services				
Question	**Y**	**N**	**?[1]**	**Additional info[2]**
1. Basic service information				
1.	Service URL				
2.	To which category the service belong to?				
3.	What category/type of institution is authorized for the e-service?				
4.	What is the start date of service development/implementation?				
5.	What is the level of informatization of the e-service?	[Do not proceed] | [Proceed] 0 1 | 2 3 4 5			
6.	Is the service connected with any other governmental services and, if yes, which?				
7.	Is there a difference between official and actual development of the e-service?				
8.	Are there limitations to the service's work schedule (e.g. does it work 24/7 or is not available in certain periods)? If yes, what are they?				
9.	Short description of the service.				
10.	A screenshot of the service.				
11.	Does the service do what it is described to do?				
2. Users				
12.	Is using the service mandatory for a certain category of users? If yes, which category of users is it mandatory for?				
13.	Are there different groups of users?				
14.	How many users are there per user group?				
15.	What percentage of users use the service electronically (there might be users who obtain the service in an non-electronic, traditional way)?				
16.	Which age groups are prevalent in using the service?				
17.	Is the service adapted for users with disabilities?				
18.	What is the users' satisfaction (are there any indicators available)?				

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[1] The "?" column indicates a situation where no information is available or the question is not applicable to your situation.

[2] The "Additional info" column can be used in situations where a simple "Yes" or "No" answer can be supplemented with useful info, e.g. the web address of a central e-government portal, or a link where additional info on the matter in question can be found.

	3. Business optimization				
19.	Are there positive financial indicators for the e-service (for the institution responsible for the service and for users)?				
20.	Has there been a decrease in time required to process users' applications (are there any indicators available)?				
21.	How did the service affect the organisation of work processes in the responsible organization in terms of the required number of workers?				
22.	What are the plans for upgrading and expanding the service in the future?				
	4. Technological solutions				
23.	What type of authentication is used?				
24.	Is the communication between the server and client station encrypted (SSL, some other protocol)?				
25.	Does the service use eID? If yes, which one (list all if more than one eID exists)?				
26.	Does the electronic signature use digital certificates?				
27.	If yes, which format of electronic signatures is used?				
28.	In what way do the users fill in and send data (downloadable forms, send by e-mail, online etc.)?				
29.	Do the users send attachments with the filled in data? If yes, in what way?				
30.	Do the users have predetermined types of document formats while sending out data? If yes, which ones?				
31.	Is the service implemented through open-source or commercial technologies? Which technologies are being used?				
32.	What type of application is used on the client side?				
33.	Through which channel(s) is the service available (computer, mobile etc.)?				
34.	Is the service hosted within the responsible institution?				
35.	If the responsible institution is hosting the service, does it have the required certificates?				
36.	If the service or any of its parts is hosted outside the responsible institution, does it use the Cloud?				

	5. Storage and long-term content availability				
37.	What is the retention period for the data in the system?				
38.	Is the retention period defined by a law/regulation or some other act? If yes, which one?				
39.	Are the data deleted after the retention period expires?				
40.	What is the preferred long-term preservation format(s)?				
41.	Does the service use a method of materialisation of data (conversion from digital to analogue format, e.g. printing, microfilming etc.)?				
42.	Does the service comply with any of the long-term preservation standards? If yes, which one?				
43.	Does the service offer use of an electronic archive as an additional service? Are there *electronic document safe* services?				
44.	Are the data received through the service stored within the responsible institution's information system?				
45.	Does the responsible institution possess the required certificates that guarantee security of the stored data?				
46.	If the data are at least partially stored outside the responsible institution, e.g. in the Cloud, is the Cloud/Data centre located within the same country as the responsible institution?				
	6. System operation transparency				
47.	Is there a defined service use policy?				
48.	Are there any proclaimed technological measures guaranteeing the users that their data are only used for the defined purpose(s)?				
49.	Are the employees required to sign a non-disclosure agreement?				
50.	Can users access and view their data through the service?				
51.	Can users correct or update any of their data within the service? If yes, can the request for correction be sent electronically?				
52.	Can users monitor status of their application?				