

Compliance Assessment Form for Government Digital Services

Ensuring services meet established digital service standards.

Everyone involved in designing, developing, and delivering the service must adhere to the Service Standards.

Introduction

Overview

Service assessments are mandatory for all transactional and certain non-transactional services to ensure they meet the Digital Service Standard. These assessments are conducted before onboarding you to the GUP portal.

Service Assessments

Service assessments are critical evaluations conducted to ensure that a service meets all points of the Digital Service Standard (nine in total) and will be assessed by the SAB (Standards Advisory Board) panel.

Purpose

This document is designed to guide service providers through assessing their compliance with the Oman government's digital service standards. Ensuring compliance is crucial for maintaining high-quality, unified, user-focused digital services.

Getting Started:

Instructions

Service Providers must complete each section by providing the requested information, documents and supporting evidence.

For each compliance criterion, check the appropriate box based on your assessment: RAG (Red, Amber, or Green) rating.

Provide evidence or documentation where applicable to support your responses.

Ensure all sections are completed thoroughly before submission.

Date	[Date of document creation DD/MM/YYYY]
Service Provider	[Service Provider]

Service Name			
Department		Team Lead	
Contact Number		Contact Email	

Section: Meeting User Needs

1. Understand Users and Their Needs

This standard point is most relevant to the following:

User Researchers

Criteria	Examples of Evidence	Compliance Rating
Conduct regular user interviews and surveys	Summaries of user feedback, interview transcripts, survey results	Red/Amber/Green
Document user personas and user journey maps	Copies of user personas, journey map diagrams	Red/Amber/Green
Validate assumptions with real user data	Data analysis reports, A/B testing results	Red/Amber/Green

What it means:

Deeply research and understand the needs, behaviours, and motivations of users.

Service teams should:

- Conduct continuous user research.
- Regularly update user personas and journey maps.
- Use insights to drive service design and development.

2. Solve the Whole Problem

This standard point is most relevant to the following:

Service Designers

Criteria	Examples of Evidence	Compliance Rating
Implement a feedback loop for continuous service improvement	Feedback logs, summaries of improvements implemented based on user input	Red/Amber/Green
Demonstrate service integration with existing user workflows	Workflow integration diagrams, user testimonials, engagement analytics	Red/Amber/Green
Show evidence of addressing both front-end and back-end user needs	User interface changes documentation, back-end enhancement reports, user acceptance test results	Red/Amber/Green

What it means:

Design and deliver a service that addresses the user’s situation or problem.

Service teams should:

- Consider the end-to-end user experience.
- Integrate with other services and channels, as necessary.
- Ensure the solution is holistic and does not shift burdens to the user.

Section: Providing a Good Service

3. Dedicated Team

This standard point is most relevant to the following:

Delivery Managers

Product Managers

Criteria	Examples of Evidence	Compliance Rating
Create a team charter that includes roles, responsibilities, and processes	Team charter document, meeting records discussing roles and processes	Red/Amber/Green
Maintain a skills matrix and ensure gaps are addressed through training or hiring	Skills matrix updates, training session records, recruitment plans for skill gaps	Red/Amber/Green
Have a designated product owner with clear authority	Product owner job description, decision logs, team feedback on authority	Red/Amber/Green

What it means:

Have a multidisciplinary team with clear roles and responsibilities.

Service teams should:

- Establish a sustainable team structure.
- Ensure team members are empowered and have decision-making capabilities.
- Continuously improve team skills and capabilities.

4. Development Roadmap

This standard point is most relevant to the following:

Delivery Managers

Product Managers

Service Designers

Criteria	Examples of Evidence	Compliance Rating
Publish a public roadmap with milestones and deliverables	Published roadmap on the service's website, documentation of roadmap updates	Red/Amber/Green
Show a record of iterative updates based on user feedback	Change logs, release notes documenting updates influenced by user feedback	Red/Amber/Green
Utilize agile project management tools to track progress	Screenshots from agile tools (e.g., Jira, Trello), sprint reports, burn-down charts	Red/Amber/Green

What it means

Use agile methods to plan and execute the development of the service.

Service teams should:

- Maintain a publicly accessible roadmap.
- Incorporate feedback loops with users to inform roadmap updates.
- Show progress against milestones regularly.

5. Consistent Multichannel Experience

This standard point is most relevant to the following:

Service Designer

Product Manager

Content Designer

Developers

Criteria	Examples of Evidence	Compliance Rating
Use the style guide and design system for consistent implementation	Screenshots from web, mobile apps showing the same design elements	Red/Amber/Green
Implement accessibility standards across channels	Accessibility audit reports, user testing results for different platforms	Red/Amber/Green
Ensure functional parity across all channels	Documentation comparing features across channels, user feedback on experience consistency	Red/Amber/Green
Implement shared components and services for reuse across channels	Code repository links, documentation of shared components, examples of component reuse in various products	Red/Amber/Green

What it means:

Provide a seamless user experience across all platforms and interaction points.

Service teams should:

- Use a consistent design system.
- Ensure accessibility across all channels.
- Test cross-platform usability to guarantee consistency.

6. Correct Tracking and Goals

This standard point is most relevant to the following:

Performance Analyst

Business Analyst

Criteria	Examples of Evidence	Compliance Rating
Define and track service-specific KPIs	KPI (key performance indicators) documentation, tracking reports showing performance against KPIs (key performance indicators)	Red/Amber/Green
Share performance dashboards regularly with stakeholders	Copies of dashboards shared in stakeholder meetings, email records of sent updates	Red/Amber/Green
Use data to make informed decisions for service enhancements	Meeting minutes documenting decision-making based on data, revisions to service plans following data review	Red/Amber/Green

What it means:

Establish metrics to measure service performance and user satisfaction.

Service teams should:

- Define clear KPIs related to user goals and service effectiveness.
- Regularly review and adjust goals based on performance data.
- Share insights and progress with all stakeholders.

7. Performance Measurement

This standard point is most relevant to the following:

Performance Analyst

Business Analyst

Criteria	Examples of Evidence	Compliance Rating
Baseline metrics for each KPI	Initial performance reports, baseline data documentation	Red/Amber/Green
Performance reports against targets	Updated performance dashboards, progress reports	Red/Amber/Green
Set targets for improvement for each KPI	Strategic planning documents specifying KPI targets, goal-setting meeting minutes	Red/Amber/Green
Regularly review and report on performance against targets	Progress reports, performance review presentations, periodic KPI analysis reports	Red/Amber/Green

What it means:

Continuously track and measure the effectiveness of the service.

Service teams should:

- Identify performance indicators for your service, including the four mandatory key performance indicators (KPIs):
 - cost per transaction
 - user satisfaction
 - completion rate
 - digital take-up
- Implement tools to monitor user satisfaction, completion rates, and engagement.
- Set benchmarks and strive for continuous improvement.
- Use data to guide service enhancements.

Section: Using the Right Technology

8. Select Appropriate Tools and Tech

This standard point is most relevant to the following:

Architects

Developers

Product Managers

Criteria	Examples of Evidence	Compliance Rating
Document the selection process for tools and technologies	Selection process documentation, meeting minutes discussing tool evaluation, procurement documents	Red/Amber/Green
Ensure all tools meet compliance and security standards	Compliance audit reports, security certification documents for used tools	Red/Amber/Green
Regularly review tools and technologies to ensure they meet evolving service needs	Technology review reports, update logs, feedback from users on tool effectiveness	Red/Amber/Green

What it means:

Choose technologies that best meet the needs of the service and its users.

Service teams should:

- Evaluate tools and technologies based on scalability, security, and compliance requirements.
- Keep abreast of modern technologies that can enhance service delivery.
- Ensure choices support agile practices and rapid iterations.

9. Security and Privacy Awareness

This standard point is most relevant to the following:

Architects

Delivery Managers

Product Managers

Developers

Criteria	Examples of Evidence	Compliance Rating
Conduct regular security and privacy audits	Audit reports, schedules of completed audits, corrective action plans	Red/Amber/Green
Provide staff training on data protection and privacy	Training attendance records, training content outlines, certifications, or acknowledgments from staff	Red/Amber/Green
Document and test incident response plans	Incident response plan documents, test results, updates to plans based on test outcomes	Red/Amber/Green

What it means:

Prioritise security and privacy in all aspects of the service.

Service teams should:

- Conduct regular security audits and privacy impact assessments.
- Train all team members on data protection laws and regulations.
- Implement robust incident response strategies.

Standards Advisory Board Use Only

Assessors			
Assessment Date		Stage	GUP 1.0/ Discovery/ Alpha/Beta
Result	Met/Not met	Point of Contact (email)	

Glossary and Explanations

Criteria

Criteria refer to the specific requirements or standards service providers must meet to ensure compliance with government digital service standards. Each criterion is a measurable or observable element fundamental to a digital service's successful implementation and operation.

Examples of Evidence

This indicates the types of documents, data, or other tangible proofs service providers should provide to demonstrate that they have met each criterion. Examples of evidence are meant to illustrate the application of the requirements in real-world scenarios and help assessors understand how compliance has been achieved. You could share a mixture of Miro, FigJam, Lucid board, docs, sketches, and slides.

Compliance Rating

Compliance rating is the assessment scale used to evaluate and document the extent to which the service has met the defined criteria. It indicates how well the service aligns with the standards and requirements.

Service Assessment Report

After the assessment, a report is issued within [SLA TBC], detailing whether the service met the required standards and outlining necessary actions.

Managing Recommendations

If the assessment identifies areas for improvement, the service team must address these recommendations promptly to ensure compliance and progression to the new Oman GUP portal.

Supporting the Service Team

SAB provides ongoing support to service teams, helping them understand the assessment outcomes and advising them on best practices for addressing any gaps.

Feedback

Both service teams and the SAB are encouraged to provide feedback on the assessment process, which helps refine and enhance the guidelines and procedures for future assessments.

RAG Rating System Explanation for Service Providers

Red Rating

Meaning

The service needs to meet the standard in one or more critical areas. Some significant issues or gaps need to be addressed.

Action Required

Immediate attention is required. The service team must develop a detailed plan to address and resolve each of the deficiencies identified under the red rating. These points must be reassessed before proceeding.

Usage in Assessment

Assign a red rating for any criteria where the service fails to meet the basic requirements, shows serious security lapses, lacks essential functionality, or where user feedback indicates significant dissatisfaction.

Amber Rating

Meaning

The service meets some but only some of the required standards. Some areas need improvement, but they are not critical blockers.

Action Required

The service team should address these issues within a specified period, typically before the next review cycle. Improvements and actions taken should be documented and reviewed to ensure they meet the required standards.

Usage in Assessment

Use amber to indicate that while the service is on the right track, specific areas require enhancement or optimisation. This may include partial implementation of features, minor security concerns, or areas where user feedback suggests room for improvement.

Green Rating

Meaning

The service fully meets the assessment criteria with no significant issues. It aligns well with best practices and user expectations.

Action Required

No immediate actions are required other than ongoing maintenance and regular updates to ensure the service continues to meet standards as technologies and user needs evolve.

Usage in Assessment

Assign a green rating when the service excels in a particular area, fully meets the outlined criteria, and demonstrates best practices in operation, security, usability, and user satisfaction.

Applying the Checklist

Service providers should use the checklist to conduct regular assessments of their services. Here is how they can apply it:

Initial Assessment

Before launching or during the early phases of service deployment, use the checklist to evaluate how well the service meets the required standards.

Regular Reviews

Conduct scheduled reviews using the checklist to assess the service against the criteria continually. This helps catch issues early and keep the service aligned with evolving standards.

Iterative Improvements

Based on the RAG ratings, prioritise areas for improvement. Focus on turning reds to ambers and ambers to greens, thereby elevating the overall quality and compliance of the service.

Documentation and Reporting

Keep detailed records of each assessment and the outcomes. This documentation is crucial for internal audits, future assessments, and compliance verifications.

RAG Rating System Explanation for Service Assessors

Red Rating

This rating indicates that significant issues that prevent the service from meeting the required standards have been identified. Services receiving a red rating are still being prepared to progress to the next development phase, and they must undergo a reassessment, explicitly addressing the criteria marked as red, before moving forward.

Amber Rating

A service receives an Amber rating when it meets most but not all required standards. Although allowed to progress, the service must address all amber-related issues within a set period {SLA TBC}. Resolution of these issues is essential before any further assessments are scheduled.

Green Rating

A green rating signifies that the service has successfully met all the assessed standards and is straightforward to advance to the next phase without additional requirements. This rating strongly aligns with the desired service quality and user needs.

Documentation Requirements for Red and Amber Ratings

Detailed documentation should accompany any red or amber ratings, outlining specific shortcomings and providing a clear pathway for resolution. This documentation ensures all issues are addressed systematically and within the required timelines.

Process Following the Assessment

After the assessment, the service team receives a report detailing the outcomes and any necessary actions. The team may need to engage in follow-up actions, such as consultations or workshops, to address the points raised in the assessment. If there are disputes or requests for clarification, these should be directed through the appropriate channels [TBC] to ensure that all concerns are adequately addressed and resolved.

Standards Advisory Board

When the Standards Advisory Board (SAB) evaluates the services provided by service providers (SPs) seeking to be part of the Government Unified Platform (GUP), they follow a structured assessment process. This process helps determine whether SPs meet the necessary standards for quality and compliance. Here is a detailed explanation of the structure the SAB will use to provide their evaluation:

What the Team Has Done Well

In this section, the SAB highlights the service's strengths and the areas where the team excels. These could include innovative solutions, efficient implementations, or practices that

significantly enhance the service's user value. Recognising these strengths validates the work done by the service team and serves as a reference for best practices that can inspire other teams.

What the Team Needs to Explore

The SAB outlines areas where the service could improve or elements that require further consideration to meet the GUP standards fully. This section helps the service team understand the specific aspects they must focus on, whether enhancing certain functionalities, addressing potential security concerns, or improving user experience. The suggestions aim to guide the service team in refining their service for better alignment with GUP requirements.