

Audit Guide	
Summary	
ID	ES11
Initiative	Spain, National Interoperability Framework
Short description	The Audit Guide (Guía de auditoria de cumplimiento del Esquema Nacional de Interoperabilidad) was published in 2016 to create an instrument that helps assess of the compliance with interoperability measures against a checklist in line with the National Interoperability Framework of Spain (Esquema Nacional de Interoperabilidad – ENI in Spanish). The checklist includes a set of criteria, grouped into three categories, to assess the compliance with ENI, namely organisational framework, operational framework, and technical measures. Instructions to guide the audit process are provided in this document. This guide can be understood as a working tool that identifies the main requirements that need to be fulfilled to be compliant with ENI and the current legal framework related to interoperability.
Owner	Spain, Ministry of Finance and Civil Service
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Type	Framework
Sub-Type	Document
Context	Cross-sector
Base Registry type	All
Operating model	The Audit Guide is available online. It includes a checklist that is structured according to three categories: • Organisational framework: includes checkpoints referring to horizontal measures such as legal aspects, policy actions or other decisions usually related to interoperability governance; • Operational framework: criteria referring to the adoption of practices, procedures and measures aligned with the administration of interoperability as a whole (including design, implementation, configuration and operation of interoperable systems); • Technical measures: represent specific requirements that ensure interoperability (including formats, vocabularies or protocols).
IPR	Public domain
Status	Operational
More details	
Functionalities	The guide establishes a "Degree of compliance". It shows the conformity level with an applicable criterion, with respect to the number of information systems, services or data included within its scope. Six levels of compliance exist: null - 0% compliance, initiated - compliance between 1% and 20%, progressing - compliance between 21% and 50%, advanced - compliance between 51% and 70%, superior - compliance between 71% and 90% and excellent - compliance between 91% and 100%.
Design/Architecture	Not Available/Not Found.
Technologies	Not Available/Not Found.
Specifications	Not Available/Not Found.
Management	Not Available/Not Found.
Governance	Ministry of Finance and Civil Service
Sustainability	1 st edition. No information available on further editions.
Documentation	https://www.administracionelectronica.gob.es/pae/Home/dms/pae_Home/documentos/Estrategias/pae_Interoperabilidad_Inicio/Normas_tecnicas/Guia_auditoria_ENI_PDF_1ed_2016.pdf

	or https://administracionelectronica.gob.es/pae_Home/pae_Actualidad/pae_Noticias/Anio2016/Octubre/Noticia-2016-10-24-Nueva-Gu-a-de-auditor-a-de-cumplimiento-del-Esquema-Nacional-de-Interoperabilidad.html#.WUO7XGiGPiV				
ADMS	Not available/Not found.				
Current Users	The Spanish public administrations.				
EIRA					
View	Legal view	Organisational view	Semantic view	Technical view-application	Technical view-infrastructure
	x	x	x	x	
Building Block	Implementing Guideline Organisational Procedure Controlled vocabulary Audit and logging component				
Reusability					
Landscape	Domain Agnostic Domain Specific High adaptation effort Plug and Play cross-sector cross-border inspirational reusable usable ES 11 Framework Service Tool				
Criteria	Positive answer Negative answer Not Available/Not Found Not Applicable IPR and licenses Legal Suitability of documentation Maturity Extensibility Scalability Designed for re-use Planned re-use or extension to other domains Maintenance and support Use of standards Actual Reuse Language and location suitability Granularity Impacts Testability				