

Assessing Compliance: A Tale of Two Service Providers Activity

Evaluator: _____ _____ Services being evaluated: _____ Date: _____ _____
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Instructions:

Please go explore and assess the websites of the given (fictional) PID service providers based on the principles and criteria provided below. We encourage you to discuss and reflect on the criteria as well as offer guidance to the service providers on how to improve their service.

#	Criteria	Description	Comments
C1	Minimum Operations	Service providers SHOULD provide a common API to interact with PIDs, supporting a minimum set of operations (create, resolve and modify PID and PID Kernel Information)	
C2	Sensitive Metadata	Sensitive kernel metadata MAY require access control and/or encryption of the Kernel Information.	
C3	Ownership	PID ownership MUST be visible to other actors in the ecosystem.	
C5	Update Functionality	The PID manager MUST provide the functionality required to maintain PID attributes.	
C8	Guidance	The PID Service SHOULD publish guidance on the use cases, levels of granularity, and community best practices that are satisfied by their PID services.	
C9	Community Engagement	The PID Service SHOULD engage the end user community to determine changes in needs and practices and adjust their services and guidance accordingly.	
C10	Versioning - Schema	PID services SHOULD support versioning.	
C11	Versioning - Procedure	PID services and PID Managers SHOULD have clear versioning policies.	
C13	Persistence - Service	PID Service MUST ensure that the PID issued by the PID Authority cannot be deleted in its records.	
C17	Kernel Information Profiles	PID Services MUST engage the community to develop one or more Kernel Information Profiles appropriate to the use cases addressed by their services.	

C18	Automation	The PID Service SHOULD maintain entity metadata as part of its PID Kernel information, but this source is not authoritative. Its main purpose is automation.	
C20	Openly Available	Services MUST be available to all researchers in the EU.	
C21	RI Integration	Services SHOULD allow integration with European Research Infrastructures.	
C23	Basic Service Maturity	A PID Service infrastructure MUST be at a minimum technology readiness level of 8. This applies to basic services (registration, resolution).	
C24	Maturity - Value Added Services	Added value services MAY be offered at technology readiness levels lower than 8. OR Added value services SHOULD be offered at technology readiness level 8.	
C25	Availability - Measure	PID Services MUST meet 999 availability and uptime.	
C26	Availability - Procedure	PID Service Providers SHOULD document a summary of their maintenance and availability provisions publicly.	
C27	Continuity	PID Service Providers MUST have a clear sustainability and succession plan with an exit strategy that guarantees the continuity of the resolution of its PIDs registered with the service.	
C28	Certification	PID Authorities and Services MUST agree to be certified with a mutually agreed frequency in respect of policy compliance.	
C29	Agreed Responsibilities	PID Services SHOULD agree with PID Managers the responsibilities for Kernel Information maintenance, preferably via contract.	
C30	Global Resolution	PID Service Providers MUST ensure their system supports the necessary API for global resolution services.	
C31	Community Inclusion	PID Services MUST include representatives of the EU research community.	
C32	Justifiable Cost	PID Services SHOULD be provided at justifiable cost to PID Owners and PID Managers within EOSC.	
C33	Global Governance	PID Service governance structures SHOULD align or be embedded in global governance structures	
C34	Persistence Median	PID Services SHOULD aim for a persistence median that is acceptable to and aligns with community and dependency expectations.	
C35	Resolution Percentage	PID Service SHOULD resolve at least p percent of PIDs in a randomised sample, where p is determined by community and dependency expectations.	