

ANNEX 4 – Assessment criteria concerning the readiness of repositories to facilitate compliance with the HE MGA requirements

The purpose of this document is to outline how we proceeded for the identification of trusted repositories and the assessment of their readiness to facilitate compliance with the HE MGA requirements.

The assessment is based on the data we collected on repositories, either through a dedicated survey or desk search. The results are detailed in ANNEX 1 – Inventory of identified trusted repositories and in ANNEX 3 – Study curated results.

All columns and data mentioned in this document refer to the columns in ANNEX 1 and ANNEX 3.

How we decided how to answer Question 1
Is the repository trusted, according to the definition in the AGA?

The assessment is based on columns E-G. The final assessment of the “trustiness” of the repository is indicated In column D.

Column D	Column E	Column F	Column G
Identification of trusted repository			
Is the repository trusted?	Trusted - Certified repository	Trusted - Community Endorsement	Trusted - Basic Features

The value of Column D “**Is the repository trusted?**” will be “Yes” if the answer to one of the questions in column E “Trusted - Certified repository”, column F “Trusted - Community Endorsement”, or column G “Trusted - Basic Features” is “Yes”.

The value in Column E “Trusted - Certified repository” will be “Yes” if the repository holds one or more acknowledged certifications, i.e. if in column S “Certification” is indicated one of the following:

- ✓ Core Trust Seal
- ✓ Nestor Seal
- ✓ DIN31644
- ✓ ISO16363
- ✓ Other (note that only certifications equivalent to the ones above are accepted)

The value in Column F “Trusted - Community Endorsement” will be “Yes” if in Column L is indicated "Disciplinary", and if both in column T “Community Endorsement” and in column U “Internationally Recognised” the value is “Yes”.

The value of Column G “Trusted - Basic Features” will be “Yes” if the repository complies with the basic features for a trusted repository identified in the Annotated Model Grant Agreement (AGA), i.e.:

- the repository displays an online Public Policy for Preservation, Curation and Security of the content, and thus the value in column V is “Yes”;
- the repository metadata contains a "License" field, i.e. the value in column X is “Yes”;
- the repository assigns persistent unique identifiers to contents, i.e. the value in column Y is “Yes”;
- the repository metadata are machine-actionable, i.e. the value in column Z is “Yes”;
- the repository metadata is standardised, i.e. the value in column AA is “Yes”.

How we decided how to answer Question 2
Does the repository allow to comply with the MGA requirements on metadata?

Column H	Column I	Column J	Column K
Assessment towards HE MGA metadata requirements			
Exemplary Readiness Level	Essential Readiness Level	Close to Essential Readiness Level	Data Inconclusive

The final assessment is based on columns X-AS.
 In columns H-K the final assessment on the metadata is provided.

We have identified 4 possible readiness levels for the repositories related to how they support compliance with the MGA requirements on metadata:

1. **Exemplary**
2. **Essential**
3. **Close to Essential**
4. **Data inconclusive**

1) “**Exemplary** Readiness Level”: The repository can support the grantees in complying with all the 18 **mandatory and recommended** requirements in relation to metadata as identified in the MGA.

2) “**Essential** Readiness Level”: The repository can support the grantees in complying with all the 14 **mandatory requirements** in relation to metadata identified in the MGA.

3) **Close to Essential** Readiness Level”: The repository allows to have separate fields for selected basic metadata AND includes at least 8 of the 10 required metadata even if not in separate fields.

4) “Data inconclusive”: It was not possible to assess whether the repository falls into any of the previous 3 categories.

More details are provided below.

In order to reach the “**Exemplary Readiness Level**” (result in column H):

- The repository metadata structure contains a separate “**License**” field, i.e. the value in column X is “Yes”;
- the repository assigns **persistent unique identifiers to contents**, i.e. the value in column Y is “Yes”;
- metadata are **machine-actionable**, i.e. value in column Z is “Yes”;

- metadata are **standardised**, i.e. the value in column AA is “Yes”;
- metadata are **open** under a Creative Commons Public Domain Dedication (CC 0) or equivalent, i.e. the value in column AE is “Yes”;
- the repository metadata allow reference to "Horizon Europe", i.e. the value in column AL is “Yes, through a separate field”

AND

for *literature repositories* the metadata schema of the repository captures the following metadata through a separate field:

- **Linked resources** PID(s), i.e. the value in either column AC or AD are “Yes, through a separate field”
- **Author(s)**, i.e. the value in column AF is “Yes, through a separate field”
- **Title**, i.e. the value in column AH is “Yes, through a separate field”
- **Date of publication**, i.e. the value in column AI s “Yes, through a separate field”
- **Venue of publication**, i.e. the value in column AJ is “Yes, through a separate field”
- **Grant project name**, i.e. the value in column AM is “Yes, through a separate field”
- **Grant project acronym**, i.e. the value in column AN is “Yes, through a separate field”
- **Grant project number**, i.e. the value in column AO is “Yes, through a separate field”
- **Record PID**, i.e. the value in column AP is “Yes, through a separate field”
- **Author(s) PID**, i.e. the value in column AQ is “Yes, through a separate field”
- **Organisation PID**, i.e. the value in column AR is “Yes, through a separate field”
- **Grant PID**, i.e. the value in column AS is “Yes, through a separate field”

for *data repositories* the metadata schema of the repository captures the following metadata through a separate field:

- **Linked resources** PID(s), i.e. the value in either column AC or AD is “Yes, through a separate field”
- **Author(s)**, i.e. the value in column AF is “Yes, through a separate field”
- **Description**, i.e. the value in column AG is “Yes, through a separate field”
- **Date of deposit**, i.e. the value in column AI is “Yes, through a separate field”
- **Embargo**, i.e. the value in column AK is “Yes, through a separate field”
- **Grant project name**, i.e. the value in column AM is “Yes, through a separate field”
- **Grant project acronym**, i.e. the value in column AN is “Yes, through a separate field”
- **Grant project number**, i.e. the value in column AO is “Yes, through a separate field”
- **Record PID**, i.e. the value in column AP is “Yes, through a separate field”
- **Author(s) PID**, i.e. the value in column AQ is “Yes, through a separate field”
- **Organisation PID**, i.e. the value in column AR is “Yes, through a separate field”
- **Grant PID**, i.e. the value in column AS is “Yes, through a separate field”

In order to reach the “**Essential Readiness Level**” (result in column I) the repository must support the grantees in complying with all the 14 mandatory requirements (but

not the recommended ones) in the MGA in relation to metadata, which are reported below:

- Metadata contains a **"License" field**, i.e. the value in column X is "Yes";
- metadata are **machine-actionable**, i.e. the value in column Z is "Yes";
- metadata are **open** under a Creative Commons Public Domain Dedication (CC 0) or equivalent, i.e. the value in column AE is "Yes";
- metadata allow **reference to "Horizon Europe"**, i.e. the value in column AL is "Yes, through a separate field"

AND

for *literature repositories* the metadata schema of the repository needs to capture the following information through a separate field:

- **Linked resources PID(s)**, i.e. the value in either column AC or AD is "Yes, through a separate field"
- **Author(s)**, i.e. the value in column AF is "Yes, through a separate field"
- **Title**, i.e. the value in column AH is "Yes, through a separate field"
- **Date of publication**, i.e. the value in column AI is "Yes, through a separate field"
- **Venue of publication**, i.e. the value in column AJ is "Yes, through a separate field"
- **Grant project name**, i.e. the value in column AM is "Yes, through a separate field"
- **Grant project acronym**, i.e. the value in column AN is "Yes, through a separate field"
- **Grant project number**, i.e. the value in column AO is "Yes, through a separate field"
- **Record PID**, i.e. the value in column AP is "Yes, through a separate field"
- **Author(s) PID**, i.e. the value in column AQ is "Yes, through a separate field"

for *data repositories* the metadata schema of the repository needs to capture the following information, through a separate field:

- **Linked resources PID(s)**, i.e. the value in either column AC or AD is "Yes, through a separate field"
- **Author(s)**, i.e. the value in column AF is "Yes, through a separate field"
- **Description**, i.e. the value in column AG is "Yes, through a separate field"
- **Date of deposit**, i.e. the value in column AI is "Yes, through a separate field"
- **Embargo**, i.e. the value in column AK is "Yes, through a separate field"
- **Grant project name**, i.e. the value in column AM is "Yes, through a separate field"
- **Grant project acronym**, i.e. the value in column AN is "Yes, through a separate field"
- **Grant project number**, i.e. the value in column AO is "Yes, through a separate field"
- **Record PID**, i.e. the value in column AP is "Yes, through a separate field"
- **Author(s) PID**, i.e. the value in column AQ is "Yes, through a separate field"

In order to reach the “**Close to Essential** Readiness Level” (result in column J) for *literature repositories* the repository must support the grantees by providing a separate field for **selected basic metadata** as indicated below:

- **Author(s)**, i.e. the value in column AF is “Yes, through a separate field”
- **Title**, i.e. the value in column AH is “Yes, through a separate field”
- **Date of publication**, i.e. the value in column AI is “Yes, through a separate field”
- **Venue of publication**, i.e. the value in column AJ is “Yes, through a separate field”

AND

- The repository metadata must contain a “**License**” field, i.e. the value in column X is “Yes”;
- The repository metadata must be **machine-actionable**, i.e. the value in column Z is “Yes”;
- The repository metadata must be **open** under a Creative Commons Public Domain Dedication (CC 0) or equivalent, i.e. the value in column AE is “Yes”

AND

the repository must allow to include information on at least 8 of the remaining 10 mandatory fields, as reported below, even if not all with a separate metadata field:

- Reference to “Horizon Europe”, i.e. the value in column AL is either “Yes, through a separate field” or “Yes, but not through a separate field”
- Linked resources PID(s), i.e. the value in either column AC or AD is either “Yes, through a separate field” or “Yes, but not through a separate field”
- Grant project name, i.e. the value in column AM is either “Yes, through a separate field” or “Yes, but not through a separate field”
- Grant project acronym, i.e. the value in column AN is either “Yes, through a separate field” or “Yes, but not through a separate field”
- Grant project number, i.e. the value in column AO is either “Yes, through a separate field” or “Yes, but not through a separate field”
- Record PID, i.e. the value in column AP is either “Yes, through a separate field” or “Yes, but not through a separate field”
- Author(s) PID, i.e. the value in column AQ is either “Yes, through a separate field” or “Yes, but not through a separate field”

In order to reach the “**Close to Essential** Readiness Level” for data repositories the repository must support the grantees by providing a separate field for **selected basic metadata** as indicated below:

- **Author(s)**, i.e. the value in column AF is “Yes, through a separate field”
- **Description**, i.e. the value in column AG is “Yes, through a separate field”
- **Date of deposit**, i.e. the value in column AI is “Yes, through a separate field”
- **Embargo**, i.e. the value in column AK is “Yes, through a separate field”

AND

- The repository metadata contains a **"License"** field, i.e. the value in column X is "Yes"
- The repository metadata are **machine-actionable**, i.e. the value in column Z is "Yes"
- The repository metadata are **open** under a Creative Commons Public Domain Dedication (CC 0) or equivalent, i.e. the value in column AE is "Yes"

AND

the repository must allow to include information on at least 8 of the remaining 10 mandatory fields, as reported below, even if not all with a separate metadata field:

- Reference to "Horizon Europe", i.e. the value in column AL is either "Yes, through a separate field" or "Yes, but not through a separate field"
- Linked resources PID(s), i.e. the value in either column AC or AD is either "Yes, through a separate field" or "Yes, but not through a separate field"
- Grant project name, i.e. the value in column AM is either "Yes, through a separate field" or "Yes, but not through a separate field"
- Grant project acronym, i.e. the value in column AN is either "Yes, through a separate field" or "Yes, but not through a separate field"
- Grant project number, i.e. the value in column AO is either "Yes, through a separate field" or "Yes, but not through a separate field"
- Record PID, i.e. the value in column AP is either "Yes, through a separate field" or "Yes, but not through a separate field"
- Author(s) PID, i.e. the value in column AQ is either "Yes, through a separate field" or "Yes, but not through a separate field"