**UEL Data Management Plan Review Rubric**

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| **Template** | **UEL Data Management Plan** |
| **Purpose** | **To provide feedback to researchers on their data management plans** |
| **Version** | **1.0** |
| **Date** | **20200117** |
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| **DMP Section** | **Performance Criteria** |  | **Performance Levels** |  |
|  |  | **Detailed** | **Addressed but incomplete** | **Not addressed** |
| **Data Collection** | What data will you collect or create? | All data types clearly defined, including file formats eg. spreadsheets in .csv, non-proprietary if possible, with reasons for their use. Estimates of size/volume of data given. States which data is personal or special category. | Some description of data to be collected/created, but not covering all data, or not specific file types. No guide to volume/quantity. Unclear or incomplete based on responses in rest of plan. | Minimal information on data types, formats, volumes, or context. |
|  | How will the data be collected or created? | Clear methodology described for each dataset and why used, including data types created during the research, processed before final data produced. Describes how data will be organised, such as file naming conventions. Covers any export or transfer of data. | Methodologies described, but not clearly or not for each and all of the data types listed in previous section. | Minimal description of how data will be collected/created |
| **Documentation and Metadata** | What documentation and metadata will accompany the data | Description of metadata standards to be used, or project strategy should a community standard not exist. States what documentation or contextual information will accompany the data, such as data dictionaries, including details of file naming conventions and anonymisation techniques where appropriate. | Limited details about metadata and documentation, or covering a subset of data. | No, or minimal, mention of metadata and documentation. |
| **Ethics and Intellectual Property Rights** | What ethical issues are present and how will you manage them? | Ethical issues around data collection identified and methodologies for handling them described. Could include protecting participant privacy, consents for sharing data, or working with vulnerable communities. Or it is stated why there are no ethical concerns. | Ethical issues around data collection are described, but not for all data. Methods for mitigating them are not mentioned, inadequate, or inappropriate. | No, or minimal, mention of ethical issues, but project likely to experience these issues given responses in other sections. |
|  | How will you manage copyright and IPR issues? | Copyright and IPR issues identified, how rights are owned or assigned, along with methods for managing them. Dataset licensing and agreements for use of existing datasets can be included. Or it is stated why there are no concerns. | Some issues described, but not for all data concerned. Management of said issues is inadequate or inappropriate. | No, or minimal, mention of copyright and IPR and the project is likely to experience them. |
| **Storage and Backup** | How will data be stored and backed up during the research? | Clearly defined storage locations for all data collected/created during the research, appropriate to nature of the data and in line with policy & data protection requirements. Backup location and schedule for data described and appropriate. Covers data transfer methods where relevant. Examples of locations: H: Drive; UEL OneDrive; personal portable drives. | Some description of storage and backup methods to be used, but vague or not covering all data in the project. E.g. stating research data will be saved on a UEL PC, but does not specify a drive or cloud service location. | The storage and backup solutions, if mentioned, are unclear, inadequate, or don’t comply with data protection regulations. |
|  | How will you manage access and security? | Clear description of who will have access to active data and how this is controlled. Describes the security measures employed e.g. encryption of portable drives, physical protections such as controlled access labs. | Some access and security measures described, but not for all datasets. Not rigorous enough. | The access and security measures, if mentioned, are inadequate or inappropriate. |
| **Data Sharing** | How will you share the data? | States whether data will be shared, who with, when, and how. If data will not be open, a justification is given. Consideration of best practice and how achieved, gives rationale for decisions. Identifies appropriate repository and license. | Mention of whether data will be shared, but lacking in detail on mechanisms or justifications for decisions. | No information given on data sharing. |
|  | Are any restrictions on data sharing required? | States whether restrictions are required and, if so, to which data, why, and how. Examples could include sharing anonymised data only, controlled access, or embargoes. | Mentions that data should be restricted, but lacking sufficient detail on which data, reasons for restrictions, or how achieved. | No information on whether data is to be restricted. |
| **Selection and Preservation** | Which data are of long-term value and should be retained, shared, and/or preserved? | Clearly states which data are or are not of long-term value and suitable for retention, sharing, or preservation. Appraisal method and reasoning for decisions are given. | Mentions whether data are of long-term value or not, but lacking in information on how appraised or reasons for selecting/not selecting. | No mention of whether data is of long-term value. |
|  | What is the long-term preservation plan for the data? | Clear and appropriate plan on where the data will be stored and what processes are necessary, e.g. file format or hardware migration. UEL’s Arkivum secure electronic archive may be suitable. Retention period and justification given. Exit plan should the PI leave UEL and data is on institutional server. Information on how data not selected for retention will be destroyed. | Information on long-term storage is given, but insufficient detail on location, retention period, and actions required. Does not specify how data not retained will be destroyed. | No preservation plan detailed, or the proposed plan does not comply with relevant policy. |
| **Responsibilities and Resources** | Who will be responsible for data management? | Individuals identified with their data management roles and responsibilities clearly defined. | Some individuals and roles described, but not for all data collected/created. | No individuals named. |
|  | What resources will you require to deliver your plan? | Resources required to deliver the plan are listed, for example additional storage solution for large datasets, or a statement confirming no resources needed. | Mentions that resources are needed, but doesn’t specify what is required. | No mention of whether resources are required or not. |

Rubric format based on: Mary Donaldson, Marta Teperek, & Danielle Hoyle. (2017, January 16). BBSRC DMP assessment rubric v2.0. Zenodo. http://doi.org/10.5281/zenodo.247085