

## FWF Data Management Plan (DMP) Evaluation Rubric

This document is recommended as an additional aid in drafting and evaluating the DMP and is based on the [Template for a Data Management Plan Evaluation Rubric](#) of Science Europe.

DMP Guidance		Sufficiently addressed The DMP...	Insufficiently addressed The DMP...
<b>I General Information</b>			
<b>I.1 Administrative information</b>	Provide information such as name of principal investigator, FWF project number, and version of DMP	<ul style="list-style-type: none"> <li>- contains the minimal information required to identify the principal investigator and the references of the project as well as the version of the DMP.</li> </ul>	<ul style="list-style-type: none"> <li>- provides no or limited information, which makes it hard to identify who is responsible for which project.</li> </ul>
<b>I.2 Data management responsibilities and resources</b>	<p>Who (for example, role, position, and institution) will be responsible for data management?</p> <p>What resources will be dedicated to data management and ensuring that data will be FAIR (Findable, Accessible, Interoperable, Re-usable)?</p>	<ul style="list-style-type: none"> <li>- clearly outlines the roles and responsibilities for data management, naming responsible individual(s) and clearly indicates who is responsible for day-to-day implementation and adjustments to the DMP.</li> <li>- explains, for collaborative projects, the co-ordination of data management responsibilities across partners.</li> <li>- provides clear estimates of the resources and costs (for example, staff time and repository charges) that will be dedicated to data management and ensuring that data will be FAIR and describes how these costs will be covered. Alternatively, there is a statement that no additional resources are needed.</li> </ul>	<ul style="list-style-type: none"> <li>- does not discuss responsibility for data management activities and/or does not indicate who is responsible for day-to-day implementation and adjustments to the DMP.</li> <li>- provides no description, in case of a collaborative project, on how data management responsibilities will be co-ordinated across partners.</li> <li>- provides no answer or is vague about the resources required for data management and ensuring that data will be FAIR (for example, resources are not listed or costed inappropriately), and/or does not describe how the costs will be covered.</li> </ul>
<b>II Data Characteristics</b>			
<b>II.1 Data description and collection or re-use of existing data</b>	How will new data be collected or produced and/or how will existing data be re-used?	<ul style="list-style-type: none"> <li>- gives clear details of where the existing data come from and how new data will be collected or produced. It clearly explains methods and software used.</li> </ul>	<ul style="list-style-type: none"> <li>- provides little or no details on where the data come from and what data will be collected or re-used.</li> </ul>

	What data (types, formats, and volumes) will be collected or produced?	<ul style="list-style-type: none"> <li>- explains, if existing data are re-used, how these data will be accessed and any constraints on their re-use.</li> <li>- clearly describes or lists what data types will be generated (for example, numeric, textual, audio, or video) and their associated data formats.</li> <li>- explains why certain formats have been chosen and indicates if they are in open and standard format. If a proprietary format is used, it explains why.</li> <li>- provides information about the estimated data volume.</li> </ul>	<ul style="list-style-type: none"> <li>- provides no or little details on what data types will be generated and does not provide a valid reason for this omission (for example, a statement that no data will be produced or generated).</li> <li>- only lists/describes the kinds of data without specifying their formats.</li> <li>- only lists formats, without specifying the kinds of data.</li> <li>- does not provide an estimate of data volume.</li> </ul>
<b>III Documentation and Data Quality</b>			
<b>III.1 Metadata and documentation</b>	What metadata and documentation (for example, the methodology of data collection and way of organising the data) will accompany the data?	<ul style="list-style-type: none"> <li>- clearly outlines the metadata that will accompany the data, with reference to good practice in the community (for example, uses metadata standards where they exist).</li> <li>- indicates how the data will be organised during the project (for example, naming conventions, version control strategy, and folder structures).</li> <li>- clearly outlines the documentation needed to enable data re-use, stating where the information will be recorded (for example, a database with links to each item, a 'readme' text file, code books, or lab notebooks).</li> </ul>	<ul style="list-style-type: none"> <li>- provides little or no details on the metadata that will accompany the data.</li> <li>- provides no information, or only a very vague mention of documentation, without providing any detail or explanation.</li> </ul>
<b>III.2 Data quality control</b>	What data quality control measures will be used?	<ul style="list-style-type: none"> <li>- clearly describes the approach taken to ensure and document quality control in the collection of data during the lifetime of the project.</li> </ul>	<ul style="list-style-type: none"> <li>- provides no information or only a vague mention on how data quality is controlled and documented during the lifetime of the project.</li> </ul>
<b>IV Data Storage, Sharing, and Long-Term Preservation</b>			
<b>IV.1 Data storage and backup during</b>	How will the data and metadata be stored and backed up during the research process?	<ul style="list-style-type: none"> <li>- clearly (even if briefly) describes: <ul style="list-style-type: none"> <li>▪ the location where the data and backups will be stored during the research activities.</li> <li>▪ how often backups will be performed.</li> <li>▪ the use of robust, managed storage with</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>- provides no information or very vague reference to how data will be stored and backed up during the project.</li> <li>- provides little or no details on how the data will be recovered in the event of a technical incident, which institutional data protection policies are in place, and who will have access to the data during the research.</li> </ul>

<p><b>the research process</b></p>	<p>How will data security and protection of sensitive data be taken care of during the research?</p>	<p>automatic backup (for example, storage provided by the home institution).</p> <p>or</p> <ul style="list-style-type: none"> <li>- explains why institutional storage will not be used (and for what part of the data) and describes the (additional) locations, storage media, and procedures that will be used for storing and backing up data during the project.</li> <li>- clearly explains: <ul style="list-style-type: none"> <li>▪ how the data will be recovered in the event of a technical incident.</li> <li>▪ who will have access to the data during the research.</li> </ul> <p>which institutional and/or national data protection policies are in place and provides a link to where they can be accessed.</p> </li> <li>- clearly describes the additional security measures (in terms of physical security, network security, and security of computer systems and files) that will be taken to ensure that stored and transferred data are safe, when sensitive data are involved (for example, personal data, politically sensitive information, or trade secrets).</li> </ul>	<ul style="list-style-type: none"> <li>- provides little or no details about data protection and risk management, or the explanation is too vague, when sensitive data are involved (for example, personal data, politically sensitive information, or trade secrets).</li> </ul>
<p><b>IV.2 Data sharing and long-term preservation</b></p>	<p>How and when will the data be shared? Are there restrictions to data sharing or embargo reasons?</p> <p>In which repository will the data be archived and made available for re-use? What</p>	<ul style="list-style-type: none"> <li>- clearly describes how and when the data will be made discoverable and shared.</li> <li>- specifies a repository for data re-use and explains which persistent identifiers (PIDs) are provided for the data and under which licence the data will be made available. (see <a href="#">FWF Open Access Policy for Research Data</a>).</li> <li>- clearly explains, if applicable, why data sharing is limited or not possible, and who can access the data under which conditions (for example, only members of certain communities or via a sharing agreement).</li> <li>- explains what actions will be taken to overcome or to</li> </ul>	<ul style="list-style-type: none"> <li>- provides little or no details on how and when data will be shared, or the explanation is not adequate or technically viable.</li> <li>- if applicable, does not give reasons why data sharing is limited or not possible</li> <li>- provides little or no details on which software developed during the project will be necessary to access and interpret the data, how it will be made available, or why that may not be possible</li> <li>- provides no further information or lacks adequate explanation on what provisions would be made for data preservation.</li> </ul>

	<p>persistent identifier (e.g., DOI) and which usage licence (e.g., CC BY) will be used?</p> <p>What methods and software tools are needed to access and use the data?</p> <p>How will data for preservation be selected, and where will the data be preserved long-term?</p>	<p>minimise data sharing restrictions.</p> <ul style="list-style-type: none"> <li>- clearly indicates which specific tools or software (for example, specific scripts, codes, or algorithms developed during the project, version of the software) potential users may need to access, interpret, and (re-) use the data.</li> <li>- provides details on how the data, accompanying documentation, and any other required technology such as copies of software in specific versions will be archived in the long term.</li> <li>- provides details of which (versions of) data and accompanying documentation will be retained or destroyed, and explains the rationale (for example, contractual, legal requirements, or regulatory purposes).</li> <li>- provides details of what data collected or created in the project will be preserved in the long term and clearly indicates for how long. This should be in alignment with institutional, or national policies and/or legislation, or community standards.</li> </ul>	
<b>V Legal and Ethical Aspects</b>			
<b>V.1 Legal aspects</b>	<p>How will legal issues, such as intellectual property rights and ownership, be managed? What legislation is applicable?</p> <p>If personal data are processed, how will compliance with legislation on personal data and on security be ensured?</p>	<ul style="list-style-type: none"> <li>- clearly explains who will have the rights to control access to the data.</li> <li>- explains for multi-partner projects and multiple data owners how these matters are addressed in the consortium agreement.</li> <li>- clearly explains, if applicable, how intellectual property rights will be managed.</li> <li>- indicates, if applicable, whether there are any restrictions on the re-use of third-party data.</li> <li>- clearly indicates if personal data will be collected/used as part of the project, and, if applicable, how compliance with applicable legislation will be ensured (for example, by gaining informed consent, considering</li> </ul>	<ul style="list-style-type: none"> <li>- does not address legal issues, and does not provide good reason or explanation for not doing so.</li> <li>- does not address matters of rights to control access to the data in case of a multi-partner project and does not provide good reason or explanation for not doing so.</li> <li>- provides little or no details to demonstrate that personal data, if any, will be managed in compliance with applicable legislation.</li> </ul>

		encryption, anonymisation, or pseudonymisation).	
<b>V.2 Ethical aspects</b>	What ethical issues and codes of conduct are there, and how will they be taken into account?	<ul style="list-style-type: none"> <li>- provides details of what ethical issues have been considered that may affect data storage, sharing, and/or preservation, and demonstrates that adequate measures are in place to manage ethical requirements.</li> <li>- mentions, if applicable, whether ethical review is being pursued. If ethical approval has been obtained, refers to the relevant committee and documents.</li> <li>- refers to relevant ethical guidelines and/or codes of conduct or alternatively provides a clear statement that explains why ethical issues have not been considered.</li> </ul>	<ul style="list-style-type: none"> <li>- provides little or no details to demonstrate that ethical implications and codes of conduct have been considered, and does not explain why they did not need to be considered.</li> </ul>