

# ***RIS for Students Data Management Plan (DMP) rubric***

This rubric is meant to guide supervisors and teachers in evaluating students' DMPs and to be able to provide feedback. In each row you will find the DMP question with information on how to evaluate the student's answer to the question as well as guidance to keep in mind. This rubric is created based on the "Students' RU Format – General" v2.2 from November 2023. So you will find the questions copied directly from the template and also find some of the information that appears in the pop up buttons in this form.

In general, creating a DMP helps student think about proper data management and issues such as how to handle personal data, where to safely store data, etc. For information about research data management in general, please see the following presentation: <https://doi.org/10.5281/zenodo.10210111>. If questions arise while reviewing students' DMP, please feel free to contact us at [rdmsupport@ubn.ru.nl](mailto:rdmsupport@ubn.ru.nl). If you have any questions about how the DMP is incorporated in the curriculum, please contact the course coordinator. Further, we would like to make you aware that in each faculty there is a Local Privacy Officer (<https://www.ru.nl/en/contact/privacy-officers>) that you can contact about any privacy related questions.

**NB:** Please be aware that if a DMP is needed for an ethics committee, at the moment the Ethics Assessment Committee Humanities, Research Ethics Committee of the Faculty of Science, and Ethics Assessment Committee Law and Management accept DMPs created in RIS for Students. In all other cases, the supervisor will need to submit a DMP using RIS (<https://www.ru.nl/research-information-services/>).

This rubric was inspired by the NWO DMP assessment rubric (<http://doi.org/10.5281/zenodo.3629157>).

DMP question	Evaluation and Guidance (Guidance text in red)
<b>1. General information</b>	
1.1 Title of this DMP	Provides a detailed enough title that allows the reader to understand the topic and that distinguishes the title from other DMPs.
1.2 Summary of the research proposal	Provides a summary of the project, including the goals and the methods that will be used. It should be clear what type of data they are reusing or collecting (e.g. interviews, literary study, questionnaires, etc.) and how this fits the goal of their study. This summary should give the reader an understanding of the basics of the research project, providing context for the DMP. The use of jargon and technical terminology is limited so that it is also clear to readers outside of the field what the study entails.
1.3 At which research institute and/or as part of which BA/MA programme and course is the research project conducted?	Provides a research institute and/or BA/MA programme and course.
1.4 If applicable: What are the project number, funder and funder ID?	Provides a funder and a funder ID if the student has joined a (supervisor's) larger project.
1.5 What is the (expected) start and end date of the project?	Provides realistic start and end dates.
1.6 Who is your supervisor for this project?	Provides at least one supervisor, more if applicable.

<p>1.7 Which researcher(s) and/or relevant parties are involved in the research project, and what are their roles regarding data management?</p>	<p>Provides at least one name for each of the following:</p> <ul style="list-style-type: none"> <li>- Involved in writing and adjusting the DMP</li> <li>- Involved in data collection and analysis</li> <li>- Involved in data storage during research</li> <li>- Involved in long-term data archiving and sharing after the project, including transfer of data management roles</li> </ul> <p>All researchers and/or relevant parties should be mentioned (including external institutions such as hospitals, archives and companies where research might be conducted etc.)</p> <p>Importantly, when it comes to long term archiving, it is usually necessary to list someone who will stay at the university for a longer period (e.g., the supervisor), since data access must also be managed after the completion of the student's studies. Some institutes have chosen to have students archive their data in <i>RIS for Students</i>, in which case the supervisor is involved in the process. In other cases, the student may be part of their supervisor's larger research project in which case the supervisor should be involved here.</p>
<p>1.8 Did you consult a supervisor or an RDM expert when writing this DMP? If yes, specify who you consulted.</p>	<p>Provides your name.</p> <p>This field might be required if the DMP is sent to an ethics committee or an external party. If you, the supervisor, are the only one who will see this DMP, then by reading the DMP, this question is sufficiently answered.</p>
<p><b>2. Data collection</b></p>	
<p>2.1 Will existing data be (re-)used for this research project? If yes, please specify the data, their source and the terms of re-use.</p>	<p>One box is ticked. If the first box is ticked, then the student provides information on the origin of the data, the rights to the data (is permission required, who can the data be shared with, agreements on the deletion of data) and the collection process.</p>

<p><input type="checkbox"/> Yes, existing data will be (re-)used during the project. The data, their source and terms of re-use are as follows:</p> <p><input type="checkbox"/> No, no existing data will be (re-)used during the project.</p>	<p>Existing data may take many forms including:</p> <ul style="list-style-type: none"> <li>- Data from archives (physical or digital)</li> <li>- Previously collected datasets from supervisors with appropriate permission *</li> </ul> <p>* If personal data was collected for a specific research purpose (e.g. a study) and participants agreed to have their personal data only used for that purpose, the dataset cannot be used for a different purpose. Consequently, you cannot use personal data from previous ('old') projects for a current student thesis (educational purpose) later on unless you have participants' explicit consent for this. If the dataset is anonymized, it is not personal data and therefore can be used for a different purpose.</p> <p>Note that a license is typically attached to publicly available data. Reuse of personal data usually comes with a Data Use Agreement (DUA). We highly recommend that the supervisor helps the student with understanding these.</p>
<p>2.2. Will new data be generated within the research project? If yes, please specify the collection process and the data that will be generated, including file formats.</p> <p><input type="checkbox"/> Yes, new data will be generated during the project. The collection process and the data that will be generated are as follows:</p> <p><input type="checkbox"/> No, no new data will be generated during the project.</p>	<p>One box is ticked. If the first box is ticked, then the student provides information on the collection of the data as well as the file formats. The information on the collection of data should specify what kinds of data they will generate and how they will do so. Examples include: questionnaires on reading patterns in excel formats, semi-structured interviews to examine use of gestures in video formats, and response times on a gender bias response task in SPSS format (.sav).</p>
<h3>3. Personal data</h3>	
<p>3.1 Do any of the project's data allow identification of a person? In other words, are you working with personal data? List all types of data in your dataset which could be used for identification.</p>	<p>One or more boxes are ticked. If "The combination of the following data may lead to identification" or "Other, namely" is selected, then further information is provided.</p>

Do not forget about

- data that you use for participant recruitment, contact information, the key file of pseudonymised data, etc.
- data that can lead to identification when combined (e.g. place of residence and job description in some cases)
- personal data that you do not specifically ask for, but participants may provide in response to an open question in a questionnaire or during an interview

- ☐ Names
- ☐ Addresses
- ☐ Email addresses
- ☐ Telephone numbers
- ☐ IBAN
- ☐ IP addresses
- ☐ Dates of birth
- ☐ Audio recordings of participants
- ☐ Video recordings of participants
- ☐ SONA ID or other ID in a participant recruitment system, namely:
  - ☐ National Identification Number (e.g. BSN)
  - ☐ The combination of the following data may lead to identification:
    - ☐ Other, namely:
      - ☐ I do not work with personal data. None of my data could lead to identification

In general the answers to both questions 3.1 and 3.2 provide a stepping stone for the feedback you will provide in question 3.3 on anonymising and pseudonymising personal data. All personal data mentioned in these two questions will need to be discussed in question 3.3. The goal of question 3.1 and 3.2 is to get an overview of the personal data and not yet to show how the student will handle these data; that is the goal of question 3.3. They can however mention the **goal** for which they collect the data (e.g. for administrative purpose (e.g., contact information such as email addresses) or for research purpose). That way, they can easily refer to “all administrative data” in question 3.3 for example.

If you think that the student is collecting more personal data than is required to answer the research question, please discuss this with them and minimize the amount of data they are collecting. E.g., the student is collecting video recordings but perhaps audio recordings would be sufficient to answer the research question. Or the student is collecting dates of birth, when age would suffice.

<p>3.2 Do your data contain special categories of personal data? List all categories and specify the data.</p> <p>Be aware that special categories of personal data are subject to strict legal conditions.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Racial or ethnic information, namely:</li> <li><input type="checkbox"/> Political opinions, namely:</li> <li><input type="checkbox"/> Religious or philosophical beliefs, namely:</li> <li><input type="checkbox"/> Trade union membership, namely:</li> <li><input type="checkbox"/> Genetic data or biometric data, namely:</li> <li><input type="checkbox"/> Data concerning health, namely:</li> <li><input type="checkbox"/> Data concerning sex life or sexual orientation, namely:</li> <li><input type="checkbox"/> No, my data do not contain special categories of personal data</li> </ul>	<p>One or more boxes are ticked. If any box but the last one has been ticked, then more information should be provided.</p> <p>Careful attention should be given if the student will be collecting special categories of personal data since this data is very sensitive and could lead to discrimination. It is very rare that students will need to collect special categories of personal data. Collecting special categories of personal data is prohibited under the GDPR, unless clear and explicit consent is obtained from the research participants. Please ask the student to consult their local ethics committee* for approval if they want to collect special categories of personal data. More information on special categories of personal data can be found here: <a href="https://www.ru.nl/privacy/english/protection-personal-data/personal-data/">https://www.ru.nl/privacy/english/protection-personal-data/personal-data/</a></p> <p>If you think that the student is collecting more (special categories of) personal data than is required to answer the research question, please discuss this with them and help them to minimize the amount of data they are collecting.</p> <p>* If a DMP is needed for an ethics committee, at the moment the Ethics Assessment Committee Humanities, Research Ethics Committee of the Faculty of Science, and Ethics Assessment Committee Law and Management accept a DMP created in RIS for Students. Otherwise, the DMP will need to be submitted by the supervisor via RIS (<a href="https://www.ru.nl/research-information-services/">https://www.ru.nl/research-information-services/</a>).</p>
<p>3.3 Will you anonymise or pseudonymise the data in order to protect the privacy of your participants? If yes, how?</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Yes, I will protect the privacy of my participants by anonymising or pseudonymising (some of) the personal data in the following manner:</li> <li><input type="checkbox"/> No, my data cannot be anonymised/pseudonymised, because:</li> <li><input type="checkbox"/> Not applicable, I do not process personal data.</li> </ul>	<p>One box is ticked. If the first box is ticked, then the student explains how the data will be anonymised or pseudonymised (see more information below). If the second box is ticked, then the student gives a good explanation for why the data cannot be anonymised or pseudonymized.</p> <p>The difference between pseudonymised and anonymised data is as follows: anonymised data <b>cannot</b> be traced back to individuals in any way, by anybody. Pseudonymised data can still be traced back to individuals by means of a pseudonymisation key, in which the link between the data and the individuals is stored.</p>

The GDPR (AVG in Dutch) no longer applies when a dataset is **completely** anonymised and thus when **all** links to individuals are removed, including the pseudonymisation key.

Note that a dataset may contain personal data when this is needed to answer the research question(s).

All personal data mentioned in questions 3.1 and 3.2 need to be addressed in this answer. If the student uses open ended questions (e.g., in an interview or questionnaire), students should be aware that (special categories of) personal data may be collected inadvertently.

In all cases, the student needs to show that they are aware of the presence of these personal data in their dataset and provide appropriate solutions on how to handle personal data. Appropriate solutions may include:

- The student makes use of a pseudonymisation key file to separate any personal information from the research data. All personal information is stored in this key file and linked to the research data by means of a random number or another type of pseudonym. Note that not all data can be anonymised and in those cases pseudonymisation is a good solution
- The student plans to delete all personal data that is collected for administrative purposes, such as e-mail or contact information, as soon as it is no longer needed (e.g., end of the project)
- The student will remove raw audio and/or video data once a transcript has been made (whether this is best practice is discipline specific). If important information will be lost by transcription (e.g. gestures), it is good practice to keep the raw data
- Any personal data is stored in a safe location and, if possible, in a separate location from the rest of the data. The key file is also best stored separately from the pseudonymised data
- The student plans to use encryption on files or folders that contain personal data. This is especially useful when multiple people can access the storage location, but do not all need to have access to the personal data

	<p>- The student plans to restrict access to files or folders containing personal information via encryption or access management, e.g. "only my supervisor and I have access to the key file and video data"</p> <p>More information on anonymisation and pseudonymisation can be found here: <a href="https://www.ru.nl/rdm/processing-data/anonymisation/">https://www.ru.nl/rdm/processing-data/anonymisation/</a></p>
<p>3.4 Do you need approval from an ethics committee for your project? Please explain why (not).</p> <p><input type="checkbox"/> Yes, I need approval from an ethics committee for my project, because:</p> <p><input type="checkbox"/> No, I do not need approval from an ethics committee for my research, because:</p>	<p>One box is ticked and the student provides an explanation of why approval from an ethics committee is required or not.</p> <p>Important to keep in mind if approval from an ethics committee is needed: currently the Ethics Assessment Committee Humanities, Research Ethics Committee of the Faculty of Science, and Ethics Assessment Committee Law and Management accept a DMP created in RIS for Students. Otherwise, the DMP will need to be submitted by the supervisor via RIS (<a href="https://www.ru.nl/research-information-services/">https://www.ru.nl/research-information-services/</a>).</p>
<p>3.5 Do you need to use an informed consent procedure?</p> <p><input type="checkbox"/> Yes, I work with human participant data and will use the following informed consent procedure:</p> <p><input type="checkbox"/> No, I work with human participant data but I don't need an informed consent procedure, because:</p> <p><input type="checkbox"/> No, I do not work with human participant data and therefore an informed consent procedure is not necessary.</p>	<p>One box is ticked. If the first box is ticked an explanation is included of the process of getting informed consent. If the second box is ticked, then an explanation is given as to why informed consent is not needed.</p> <p>Be aware that when collecting human participant data, informed consent is needed. For more information on the informed consent procedure see: <a href="https://www.ru.nl/rdm/collecting-data/informed-consent-ethics-committees/">https://www.ru.nl/rdm/collecting-data/informed-consent-ethics-committees/</a></p> <p>Please make sure that if personal data is collected, the informed consent mentions which personal data this entails and what is going to be done with this data (in terms of sharing/archiving/publishing) and how long it will be kept.</p>
<h4>4. Storing and sharing during research</h4>	
<p>4.1 Explain where you will store your data during research.</p>	<p>One or more boxes is ticked and an explanation is provided.</p>



Name *all* storage facilities and/or devices you will use during research, even when only used temporarily.

- ☐ Radboud University Microsoft 365 Teams
- ☐ Radboud University workgroup folder
- ☐ Local drive on personal pc/laptop
- ☐ I will make use of a different kind of safe storage, namely:

If the student decides to use Radboud University Microsoft 365 Teams or a Radboud University workgroup folder, these are safe and backed up. We therefore do not recommend also storing the data during research in another location, which makes it harder to keep track of different versions of documents and has a negative environmental impact. For more information, see <https://libguides.ru.nl/c.php?g=280810&p=5171074#s-lg-box-wrapper-19235682>

In general, external hard drives and USBs are **not** recommended as storage locations. If the student indicates that they will save their data on these devices, please advise them to store their data in a Radboud University Microsoft 365 Team or Radboud University workgroup folder which is safe and backed up. In some cases they will need to use these devices for temporary storage in which case they should be encrypted and the time that data is stored on these locations should be limited as much as possible. Even if the student did not indicate alternative storage solutions, you might want to warn them against the use of USBs and external hard drives. Additionally, if the local drive on a personal pc/laptop is used it should be password protected and if there is personal data stored on it the pc/laptop further needs to be encrypted.

Oftentimes the data may temporarily be stored somewhere else (e.g., the SD cards on an audio or video recording device or on a survey tool). The time that data is stored on these locations should be limited as much as possible and the data should be moved to a safer location as soon as possible. Additionally, if a phone is used as a recording device, cloud functionalities need to be disabled to avoid data breaches.

It is recommended that non-digital data be digitized (the original files can be destroyed after 6 months). As a disclaimer, in WMO obligated research (medical field), a document with a signature may not be replaced by a digital copy.

The fewer storage solutions are used, the better. That way, the risk of data-breaches is lowest, there is no trouble with versioning and in addition it is better for the environment.

<p>4.2 How will you share your data during research and with whom? Specify whether they are Radboud researchers or from a different Dutch or international institute.</p> <p>Be aware that sharing personal data should be kept to a minimum. Furthermore, not all tools are suitable for sharing personal data, see the 'i'-button for details on the options below.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Radboud University Microsoft 365 Teams</li> <li><input type="checkbox"/> Radboud University workgroup folder</li> <li><input type="checkbox"/> SURFfilesender</li> <li><input type="checkbox"/> I will use the following tool to share my data with:</li> <li><input type="checkbox"/> I do not need to share my data with others during research.</li> </ul>	<p>One or more boxes is ticked and if any box but the last is ticked further information is provided on whom the student will share the data with during the research (collection &amp; analysis phases) and for what reason.</p> <p>It is likely that students will need to share their data, at least with their supervisors, so it is unlikely that the last box will be ticked.</p> <p>In the case that students collect personal data, make sure that the student received permission to share their data with those individuals listed. This should be addressed in the informed consent form (<a href="https://www.ru.nl/rdm/collecting-data/informed-consent-ethics-committees/">https://www.ru.nl/rdm/collecting-data/informed-consent-ethics-committees/</a>). If data is being reused, then the permission to share data should be covered in question 2.1 above.</p> <p>Whenever possible, the fewer sharing solutions used, the better.</p> <p>Note that tools such as Dropbox, Google Drive, WeTransfer, etc. are <b>not</b> suitable to share data with.</p>
<h2>5. Long term archiving and reuse</h2>	
<p>5.1 Where will you archive your data (including raw data, metadata, and documentation) for at least 7 years for the sake of scientific integrity?</p> <p>This may be done in an internal or public archive. Be aware that personal data that are not necessary for answering the research question (e.g. contact details of participants) must be deleted as soon as possible and should not be archived, regardless of the choice of archive.</p>	<p>One box is ticked. If the last box has been ticked further information is provided on where and for how long the data will be stored.</p> <p>For a 'regular' thesis, the workgroup folder or RIS for Students suffices, but if a student and/or you are planning to publish the research, another archiving solution might be needed. Also if the data is part of a larger project, for example yours or another researcher's, the student might refer to the archive the principal researcher used for the data. There is then no need to also store the data for the student's research when the same data is archived by you (or others).</p>

<ul style="list-style-type: none"> <li><input type="checkbox"/> All research data (including raw data and documentation) will be archived for a minimum of seven years in a workgroup folder to which my supervisor has access.</li> <li><input type="checkbox"/> I will use the data archiving option in RIS for students to archive my data for a minimum of seven years.</li> <li><input type="checkbox"/> I will use a different archiving method, namely</li> </ul>	
<p>5.2 Will you make (parts of) your research data publicly available for re-use and replication purposes? Please specify where and when and whether any restrictions or embargoes apply. If you are not making your data publicly available, provide a valid reason for not sharing your data.</p> <p>Be aware that you are not allowed to share personal data publicly unless you have explicit permission from your participants through informed consent.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Yes, I will make my data publicly available for reuse.</li> <li><input type="checkbox"/> No, I will not make my research data publicly available.</li> </ul>	<p>Typically, student research will likely not be made publicly available. However, if this is not the case and the first box has been ticked, the student has discussed with you whether they are legally and ethically allowed to publicly share the data. They have provided information on:</p> <ul style="list-style-type: none"> <li>- Which parts of the data will be made public</li> <li>- The repository of choice (see <a href="https://www.ru.nl/rdm/archiving-data/archiving-reuse/">https://www.ru.nl/rdm/archiving-data/archiving-reuse/</a> for more information)</li> <li>- The fact that they will provide documentation</li> <li>- The access level and why that level has been chosen</li> <li>- The license</li> </ul> <p>If the data is part of a larger project that will be publicly available, for example yours or another researcher's, the student might refer to the archive the principal researcher will use for the data.</p> <p>If you have questions about this, please contact <a href="mailto:rdmsupport@ubn.ru.nl">rdmsupport@ubn.ru.nl</a>.</p> <p>The second box will be more typical in which case the student could mention something to the following effect: "Since my research data have been collected/re-used for educational purposes and will not be part of a scientific publication, they will not be made publicly available".</p>

	<p>Please be aware that if the data is pseudonymized (e.g., a key exists), this is considered personal data and the GDPR applies. Therefore, the student must have gotten explicit consent to publicly share the pseudonymized data.</p>
--	--