

**TD1306 COST Action “New frontiers of peer review”
(PEERE)
PEERE policy on data sharing on peer review**

13 September 2017

1. Preamble

TD1306 COST Action “New frontiers of peer review” (hereinafter, PEERE) aims to improve the efficiency, transparency and accountability of peer review through a trans-disciplinary, cross-sectoral collaboration. The objectives of this Action are: (i) to analyse peer review in different scientific areas by integrating quantitative and qualitative research and incorporating recent experimental and computational findings; (ii) to evaluate implications of different models of peer review and to explore new incentive structures, rules and measures to improve collaboration in all stages of the peer review process; (iii) to involve science stakeholders in data-sharing and testing initiatives, (iv) to define collaboratively a joint research agenda that points to an evidence-based peer review reform.

To achieve these objectives, PEERE established collaboration with a group of publishers to define a data sharing strategy aimed to provide data on internal peer review processes in a sample of journals. This will allow PEERE to study peer review across different fields and identify important factors that could help to improve quality, transparency and accountability of the process.

The aim of this document is to set up a PEERE policy that regulates data sharing on peer review (PEERE Objective iii). It includes a short description of PEERE mission, values and goals and provides details on its data and privacy policy. Finally, it describes the PEERE data management policy, including the regulation of scientific collaboration within the PEERE network and dissemination objectives. The policy aims to regulate collaboration between PEERE members on data made available by publishers involved in the Action. This policy includes agreement on data processing, administration, management and data access, use and dissemination. It will regulate each PEERE activity undertaken before the end of the Action, which expires on 11 May 2018.

2. PEERE mission, values and goals

PEERE aims to improve the quality, efficiency and transparency of peer review by promoting multi-disciplinary analysis and stimulating evidence-based experiments and reforms. It aims to take current research on peer review, which is individual, case-based and single discipline-based to the next level, i.e., large-scale, systematic and multi-disciplinary. It supports an evidence-based approach that aims to measure the quality and efficacy of peer review and test new models and arrangements that can improve the outcome of the process to benefit the scientific community, stakeholders and society. PEERE fully conforms to values of research integrity, openness, diversity and transparency. This document endeavours to transpose this mission and values into concrete policies, which can stimulate collaboration and common purposes.

3. PEERE Privacy statement

PEERE is committed to protecting all stakeholders involved, including the academic community, publishers, editors, peer-reviewers and authors as well as guaranteeing the rights of any individual or organisation involved. Privacy and security will be ensured in handling data. This requires us to address data protection whenever PEERE researchers interact with publishers' databases. It directs researchers to conduct reviews of how information concerning individuals is handled within their

research activity. This is relevant, especially when information technology (IT) and data analysis tools are used to collect new information or handle collections of personally identifiable information that are provided electronically, so that all stakeholders have full assurance that personal information is protected. PEERE assures that the use of new information technologies in all research activity sustains and does not erode protection by contract or law allowed for publishers' use, collection and disclosure of personal information. It also assures that personal information contained in databases will be handled in full compliance with 'Data Protection EU legislation', academic codes of conduct and ethical committee's guidelines adopted by journals or publishers, where applicable.

PEERE fully adheres to the above stated privacy policies and will inform any party involved in the project about their data protection's rights and duties.

4. Legal and ethical context and background

PEERE procedures are compliant with EU legislation in force at the time (Directive 46/95/UE) and also the new General Data Protection Regulation (Regulation EU 2016/679 due to come into effect on 25 May). PEERE fully follows academic codes of conduct and ethical committee guidelines adopted by journals or publishers (such as EASE statement on data sharing), where applicable. It fully conforms to best practices in research integrity as established by the EU code of conduct under Horizon 2020, which includes full compliance with ethical principles and relevant national, EU and international legislation, such as the Charter of Fundamental Rights of the European Union and the European Convention on Human Rights. PEERE requires full compliance by any individual or organisation involved.

5. Privacy and Data Roles

Prof. Flaminio Squazzoni (Action chair, <http://gecs.unibs.it/squazzoni.html>; email: flaminio.squazzoni@unibs.it) is acknowledged from PEERE members as data controller. He will be responsible for data management, including access, use and dissemination. He will control the proper use of data by anyone involved in the Action

in order to prevent any misuse and ensure full compliance with the policy by anyone involved. The data processor will be Prof. Francisco Grimaldo (Action vice-chair, <http://www.uv.es/grimo>; email: francisco.grimaldo@uv.es). They both act on behalf of PEERE to fulfil the requirements of the scientific activities of the Action and fully comply with PEERE objectives. They are also responsible for ensuring compliance of any scientific output according to the COST policies, e.g., acknowledgements and open access priority.

In order to assure that any use of new information technologies sustains and does not erode protection by contract or law permissible for publishers' use, collection and disclosure of personal information, the data manager and administrator are key PEERE figures with day-to-day responsibility for implementing privacy laws and policies. PEERE designates PhD. Dr. Giorgio Pedrazzi (PEERE Working Group 2 member, University of Brescia, Italy) to serve as privacy manager for information technology/web matters and for privacy policies. The designated researcher will coordinate implementation of PEERE web and privacy policy and guidance.

6. Data minimization

PEERE fully complies with the principle of “data minimization”, which means that the data controller should limit the collection of personal information to what is directly relevant and necessary to accomplish PEERE objectives. Data will be retained just as long as is necessary to fulfil this purpose. No sensitive data will ever be processed by PEERE. Personal data will be processed only minimally and measures of pseudo-anonymization will always be put into place. This will be carried out by in-house publishers, or by the PEERE data unit (see below), if required. The same measures will also apply to journal data, which will be fully merged into a single dataset without any reference to the journal's publishing company. Publishers will be able to access only anonymized data so as to avoid mutual data traceability. No personal data will ever be published, diffused or transferred to other third parties, including other research groups.

7. Data retention and storage

Data will be acquired according to protocol and stored in a server of the School of Engineering at the University of Valencia, under the responsibility of Prof. Francisco Grimaldo as data administrator of PEERE. They will be protected by firewalls and passwords, and access will not be permitted for anyone else, except for maintenance from authorized personnel. IT facilities used to store the datasets comply fully with local and European requirements. Each case of conflict between internal policies of University of Valencia and PEERE policies will be issued by the PEERE data unit and the Management Committee of PEERE, if necessary.

Descriptive meta-data will be developed and updated and will be linked with the datasets. This will help any PEERE researcher involved to understand data structure and content. Back-ups, data archiving, and preservation will be guaranteed in conformity with the PEERE policy.

8. Access to dataset

A group of PEERE members who collaborate on data management makes up the PEERE data unit. This unit is led by the data controller. The core members of the unit include: Virginia Dignum (Delft University, The Netherlands), Pierpaolo Dondio (Dublin Institute of Technology), Ana Marusic (Split School of Medicine, Croatia), Bahar Mehmani (Elsevier, The Netherlands), Giorgio Pedrazzi (University of Brescia, Italy), Kalpana Shankar (University College Dublin), Aliaksandr Birukou (Springer, Germany), Michael Willis (Wiley, United Kingdom). Other PEERE members with relevant expertise and who may contribute to data management can join the unit at any time with the approval by Prof. Flaminio Squazzoni.

The unit is responsible for sharing the meta-data among the PEERE members and granting access to data upon requests by PEERE members. A template for requesting access to data by PEERE members (see appendix) will be shared among PEERE members, including an agreement on non-disclosure of data, compliance with COST policies, PEERE data sharing guidelines and policy and PEERE acknowledgement policy, full information of scientific activities and planned output. The template includes a request to all PEERE members by the member submitting a

proposal for data use. The submitting member has to fill in the template with a proposal for data use and sign an agreement in which all PEERE guidelines are fully reported, including the prohibition to share data with any third party, either for scientific or commercial purposes and the duty to guarantee the security of shared data.

A call for proposals to access data by PEERE members will be open until the end of the Action and announced on the internal mailing list of PEERE members. The proposals should clearly indicate the scientific purpose and type of data needed. Furthermore, they should indicate the time period in which data is retained, who has access and how data is managed and maintained. The unit will receive and evaluate proposals by PEERE members. If required by the proposers, the unit will help in data access and analysis. Any publisher involved in the project, will never have access to any data related to or processed by other publishers.

9. Anonymization

No personal data will ever be published, diffused or transferred to any third party. Standard protocols of data anonymization and codification will be followed to ensure appropriate data access, use and dissemination. Considering the scientific value of the work and the privacy and sensitivity of the data, data will be de-identified and made de-identifiable as far as is practicable and reasonable. Data analysis will treat all data in aggregate forms, both during the analysis and in all publications/outcomes (e.g., draft and submissions). Data will never be used to identify individuals or to evaluate specific papers, journals, publishers, editors and authors.

10. Data management plan

Data will be acquired by the *data processor* and stored in a server of the School of Engineering at the University of Valencia and under their responsibility. Data will be protected by firewalls and passwords, and access will not be permitted to anyone else, except for maintenance from authorized personnel. IT facilities used to store the datasets fully comply with local and European requirements. Regular reports of data

activity will be sent by the data manager to the PEERE data unit. Reports will also be regularly included in the PEERE Management Committee agenda.

11. Privacy impact assessment (PIA)

Privacy impact assessment will be released for all data shared. PIA describers will include: (i) what information is to be collected (e.g., nature and source); (ii) why information is being collected (e.g., to determine eligibility); (iii) intended use of information (e.g., to verify existing data); (iv) with whom information is shared (e.g., eligibility of PEERE members who access information); (v) what opportunities individuals have to decline providing information (i.e., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses) and how individuals can grant consent; (vii) how information will be secured (e.g., administrative and technological controls).

12. Internal breach notification procedures

In case of a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed, as defined in art, the data controller (Prof. Flaminio Squazzoni) is required to notify the personal data breach without undue delay after becoming aware of it. The need to implement appropriate measures against continuing or similar data breaches may justify additional time in communication which should not exceed 72 hours.

PEERE members acknowledge a duty to cooperate to minimize risks and mitigate subsequent damages derived from any actual or potential data breach and to proactively notify breaches.

Each PEERE member will retain the right to withdraw the permission to process data according to the template (see appendix) and the agreement signed by all PEERE members in case of serious violation of the data breach procedures.

Data processors must report personal data breaches to PEERE data controller. Any breach must also be reported to PEERE members. As regards data subjects, the data controller is exempted from the obligation to communicate a personal data breach when:

- a) the breach is unlikely to result in a risk for the rights and freedoms of natural persons;
 - b) appropriate technical and organisational protection were in place at the time of the incident (e.g. encrypted data);
- or
- c) this would trigger disproportionate efforts.

Notification to all PEERE members shall contain a description in clear and plain language of the nature of the personal data breach and providing at least the following information:

1. A description the nature of the personal data breach, including, where possible:
 - a) basic information about the type of breach;
 - b) basic information about the personal data concerned;
 - c) the date and time of the breach (or an estimated date and time);
 - d) the date and time of detection;
2. The categories and approximate number of data subjects concerned and the categories and approximate number of data records concerned, etc.;
3. The likely consequences of the personal data breach;
4. The measures taken or proposed to be taken by the data controller to address the personal data breach, including, where appropriate, to mitigate its possible adverse effects.

If any of these details would not available at the moment of the detection of the breach, the PEERE data controller must provide them as soon as possible. The notification and information may be provided in phases without undue further delay.

PEERE data controller must maintain an internal breach register in which he will record each incident including the facts/circumstances in relation to each personal data breach, its effects and the remedial action(s) taken.

13. Transparency and amendments

Any researcher involved in the project agrees to share, in confidentiality, the draft of any publication, outcome or proceeding based on datasets made available by PEERE activity. The PEERE website will be used to host information concerning the project and will be regularly updated. Stakeholders, including editors and publishers, will be informed about the project's goals, objectives, processes, policies and outcomes through the PEERE newsletter and documents published on the PEERE website. The guidelines, including contacts for privacy issues, will be fully published on the PEERE website (www.peere.org), as part of Action deliverables.

This Privacy Policy may be amended from time to time, consistent with legal and ethical requirements. Revisions will be posted on the PEERE's website and sent to the newsletter's members.

14. Scientific collaboration

The publishers will be involved during all stages of research, including research design and publication, by collaborating side-by-side with the PEERE data unit, ideally also as publication co-authors, in case of interest. They will be fully informed about submissions and publications, as well as about any dissemination activity related to data use. Any potential conflict or complaint will be addressed first to the data controller and administrator, who will report to the PEERE data unit, and in any pertinent cases, to the PEERE Management Committee if a solution is not found. Any case of misconduct or discrimination that is not resolved within PEERE, will be referred to the COST Association with the involvement of the PEERE Science Officer (http://www.cost.eu/COST_Actions/tdp/TD1306).

15. Dissemination strategy

PEERE aims to make a difference in the study of peer review and set up standards for further research and cross-disciplinary, cross-sectoral initiatives. This will be achieved in two ways:

1. Publication of papers co-authored by a large group of PEERE members, who will disseminate results on a large-scale, in broad scope and influential journals.
2. Publication of specialized papers by subgroups of PEERE members, who will address specific audiences and peer review issues.

16. Acknowledgements

In all publications resulting from the use of PEERE data repository, the acknowledgment must adhere to the standard COST acknowledgments as follows: *“The TD1306 COST Action “New frontiers of peer review” (PEERE - www.peere.org) gave access to data used in this study. The authors acknowledge help by <the person/people responsible for data access (e.g., Prof. Francisco Grimaldo)> on access to PEERE data repository”.*

17. Contacts

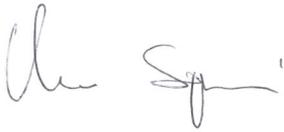
Any claim, objection or request of access by a data subject should be addressed via mail or email to the following contact: info@peere.org (Prof. Flaminio Squazzoni, Department of Economics and Management, University of Brescia, Via San Faustino 74/b, 25122 Brescia, Italy).

Questions or comments concerning this Policy should be addressed to PEERE via mail or email as follows: info@peere.org (Prof. Flaminio Squazzoni, Department of Economics and Management, University of Brescia, Via San Faustino 74/b, 25122 Brescia, Italy).

18. Expiration

This document will regulate all PEERE-related activity, started before the end of the Action, on 11 May 2018.

TD1306 COST Action PEERE
Chair



Prof. Flaminio Squazzoni

The Royal Society
Publishing Director



Dr. Stuart Taylor

Appendix

Template for data access

This template will be used by PEERE members to apply for PEERE data access. It will only be published internally, through the PEERE mailing list.

PEERE Template for data access (2016-2018)					
Name/surname of the principal applicant (including academic status, affiliation and country)		Title of the research project		Initial/completion date of the project	
Role of the applicant in PEERE (i.e., WG leader, STSM coordinator, Dissemination Coordinator, WG member)		Description of the objective of the collaboration, including data needed		Publication and dissemination goal of the project	
Name/surname of all PEERE members involved in the collaboration, including their role in PEERE		Description of the availability of shared data security (i.e., secure servers, restricted access)		Please, indicate if you need any technical and scientific assistance by the PEERE data unit to perform this activity (e.g., dataset preparation, data analysis)	
I hereby declare to have read and fully understood the PEERE guidelines and policies here: <i>HERE link to the PEERE Guidelines published on the PEERE website</i> and all members of the network who will collaborate in this activity have read the PEERE guidelines and policies and agree on them (please, mind that this includes the prohibition to share data with any third party either for scientific or commercial purposes)					