ROSiE

D9.3: Quality Management Plan

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Responsible Open Science in Europe

ROSiE

Grant Agreement no.: 101006430
Lead contractor for this deliverable: University of Oslo

This project has received funding from the European Union's Horizon 2020 research and innovation programme under GA No 101006430

Deliverable factsheet:

Project Number:	101006430
Project Acronym:	ROSiE
Project Title:	Responsible Open Science in Europe
Title of Deliverable:	Quality Management Plan
Work Package:	WP 9
Due date according to contract:	31.08.21
Editor(s):	Rosemarie Bernabe
Contributor(s):	Søren Holm
Reviewer(s):	Rosemarie Bernabe
Approved by	Søren Holm

Abbreviations	EB Executive Board EAB External Advisory Board PC Project Coordinator WP Work Package

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Consortium:

	ROLE	NAME	Short Name	Country
1.	Coordinator	University of Oslo	UiO	Norway
2.	Partner	Austrian Agency for Research Integrity	OeAWI	Austria
3.	Partner	European Citizen Science Association	ECSA	Germany
4.	Partner	European Network of Research Ethics Committees	EUREC	Germany
5.	Partner	Federation of Finnish Learned Societies	TSV	Finland
6.	Partner	High Council for the Evaluation of Research and Higher Education	Hceres	France
7.	Partner	National Research Institute for Agriculture, Food and Environment	INRAe	France
8.	Partner	National Technical University of Athens	NTUA	Greece
9.	Partner	Universidade Católica Portuguesa	UCP	Portugal
10.	Partner	University of Latvia	UL	Latvia
11.	Partner	University of Tartu	UT	Estonia
12.	Partner	University of Southeastern Norway	USN	Norway

Revision history:

VERSION	DATE	Revised by	Reason
0.1	30.07.21	Søren Holm	1st draft
1.0	30.08.21	Søren Holm	Final version

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1 Introduction

ROSiE is committed to the highest standards of research integrity and research ethics. The project will implement transparent quality assurance processes in relation to the individual research tasks, data sets, deliverables, and publications.

This deliverable describes the quality assurance processes for research processes and datasets, deliverables, and publications.

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2 Quality assurance of research processes and datasets

The research in ROSiE will primarily be based on literature reviews, conceptual and legal analysis, qualitative research methodologies, and public involvement and engagement of relevant stakeholder groups.

The quality assurance of the primary research processes will be through ongoing peer interaction and review within the individual Work Packages. Work Package (WP) leaders can also raise issues during the meetings of the Executive Board (EB) or seek advice from the Ethics Advisor or the External Advisory Board (EAB).

2.1 Study protocols

A study protocol will be prepared for each project task that involves data collection from participants / stakeholders. This protocol will describe the recruitment of the participants, the data collection instruments and activities, the analysis methods and expected outcomes, and the relevant research ethics considerations (see 2.2)

The protocol will be drafted by the leader of the particular task in collaboration with the other partners involved in the task, peer reviewed within the WP and approved by the WP leader.

2.2 Research Ethics

The study protocol (see 2.1), will account for all ethical issues related to research involving human participants. It will form the basis for the selection and recruitment of participants. This includes the number of participants, inclusion/exclusion criteria and direct/indirect incentives for participation. A comprehensive information sheet will be communicated to all participants and thereby ensure that all participants are fully informed about the scope and purposes of their involvement and the research activities they will participate in.
Procedures for informed consent will be strictly maintained, and copies of Informed Consent Forms and Information Sheets will be prepared, duly signed, and preserved. These will be concise, and in language and terms understandable to the participants.
Research ethics approval will be sought if required by national legislation or regulation.

2.3 Datasets

Datasets generated from primary research will be deposited in Zenodo (or other appropriate data repositories) as described in the IP/Knowledge and Innovation Management Plan D9.4 & D9.5 (see also the Data Management Plan D9.1).

Prior to deposition the dataset will be quality assured through review by an expert not involved in the generation of the dataset.

Reviewers will be identified by the EB.

The reviewers will typically be other members of the consortium or members of the EAB. Outside experts can also be used as reviewers if this is appropriate.

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The Reviewer will check the following elements in relation to the data set:

a. The provenance of the dataset is clearly stated and the support from the Commissions appropriately identified.
b. The data set is fully anonymised
c. The meta-data provided with the dataset are sufficiently detailed and complete to allow other competent researchers to use the data set 'as is'
d. For numeric datasets – All variable names and labels are unambiguous and descriptive
e. The data collection instrument(s) and a full description of the data collection processes are deposited with the dataset

The Reviewer will report to the WP leader and the PC.

The WP leader will be responsible for rectifying any problems identified by the Reviewer, before the data set is deposited.

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3 Quality assurance process for ROSiE deliverables and publications

As described in the Grant Agreement, ROSiE must submit the deliverables in the table below to the European Commission during the project period[1]. These deliverables will be subject to a quality assurance process described in section 3.1.

	Description	WP	Responsible partner	Type	Status	Month
D1.1	Report on the relationship (tensions, challenges, overlaps) between RI, the wider RE perspective and OS.	1	UT	R	PU	18
D1.2	Suggested framework for addressing the (epistemic-ethical) challenges with knowledge production	1	UT	R	PU	18
D1.3	Report on conceptual and normative framework supporting the integration of RE/RI as structural components of OS and ultimately advance OS-practices	1	UT	R	PU	24
D2.1	Submitted scientific paper on the social and legal implications and challenges rel. to OS	2	UiO	R	PU	24
D2.2	Submitted scientific paper on the legal analysis of challenges in relation to fundamental rights, data protection, data sharing, intellectual property, and organization of data repositories including potential technological state of art solutions to increase legal compliance	2	UiO	R	PU	24

[1] The delivery date of some deliverables have been changed since the signing of the grant agreement.

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D2.3	Recommendations for addressing social challenges related to OS	2	UiO	R	PU	24
D3.1	Report on a strategy to engage stakeholders	3	EUREC	R	PU	4
D3.2	Report of the Stakeholder Forum activities	3	EUREC	R	PU	36
D3.3	Report of Interviews	3	EUREC	R	PU	12
D3.4	Recommendations resulting from the analysis of the consultation process	3	EUREC	R	PU	16
D4.1	Terms of Reference and the Guidelines document	4	ECSA	R	PU	36
D4.2	Horizontal Coordination & Community of Practice Report	4	ECSA	R	PU	36
D5.1	Report on existing policies and guidelines	5	OeAWI	R	PU	12
D5.2	Strategy policy paper	5	OeAWI	R	PU	28
D5.3	Policy document complementing the ECoC	5	OeAWI	R	PU	28
D5.4	Discipline-related guidelines	5	OeAWI	R	PU	36
D6.2 - D6.3	Preliminary (D6.2) and final (D6.3) analysis and mapping of existing European and national OS infrastructures with regard to promoting responsible OS	6	Hcéres	R	PU	6 - 18
D6.3	A report on the compared potentialities of existing technologies to safeguard responsible OS	6	UiO	R	PU	18
D6.4	A beta version of the ROSiE knowledge hub	6	NTUA	Other	CO	24
D7.1	Didactic framework including learning outcomes and indicators for their achievement	7	UL	R	PU	9
D7.2	Report on the results of piloting the training materials	7	UL	R	PU	26
D7.3	Final version of the content of training materials for 2-days training for 4 groups of trainees in 4 fields of science	7	UL	R	PU	30

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D7.4	Set of instructions supporting trainers in using the teaching materials	7	UL	R	PU	30
D8.1	Report on the Dissemination and Communication Plan	8	NTUA	R	PU	2
D8.2	ROSiE branding: logo, website, and social media presence	8	NTUA	DEC	PU	4
D8.3	Release of the 1st Promotional video	8	NTUA	DEC	PU	12
D8.4	Release of the 2nd Promotional video	8	NTUA	DEC	PU	34
D9.1	Data Management Plan	9	UiO	R	PU	6
D9.2	Risk Management Plan	9	UiO	R	PU	6
D9.3	Quality Management Plan	9	UiO	R	PU	6
D9.4	IP/Knowledge Management Plan	9	UiO	R	PU	6
D9.5	Innovation Management Plan	9	UiO	R	PU	6

3.1 Quality assurance process for deliverables

The final quality assurance of the substantive deliverables will take place via a peer review process. No deliverable will be submitted to the European Commission without having undergone a thorough review process involving one or more suitable external or internal reviewers. Reviewers will comment on the deliverable, and make suggestions for improvements. The author(s) and the WP leader will adjust the deliverable according to the review(s) and recommendations, and send the revised deliverable and prior review(s) to the PC for final approval and submission. This process will apply to all deliverables except the formal deliverables D 8.1-2 and D9.1-5 which will be quality assured internally at the coordinating institution.

The timeline for the quality assurance process is the following (the dates indicate the latest time at which each step in the process should be completed):

8 weeks before submission deadline

PC contacts author(s) and WP leader with contact details of Reviewer(s)

4 weeks before submission deadline

Author(s) provide draft of deliverable to Reviewer(s)

2 weeks before submission deadline

Review(s) are received from Reviewer(s)

1 week before submission deadline

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Author(s) and WP leader provide revised final draft to PC for final editing and approval

The review process will be open and the names of the reviewers will be listed on the deliverables.

Reviewers will be identified by the EB.

The reviewers will typically be other members of the consortium or members of the EAB. Outside experts can also be used as reviewers if this is appropriate.

It is the PC's responsibility to upload the deliverable on time.

As for implementing potential revisions suggested by the reviewer, the PC will act as the editor and will have the final say, but in collaboration with the author of the deliverable and with the acceptance of the WP leader.

3.2 Quality assurance process for publications

The quality assurance process for journal publications produced by the project will be via a peer review process. This will involve the same steps as the quality assurance process for deliverables (see 3.1), but with more flexible deadlines.

In accordance with normal practice for journal publications the Corresponding Author will be responsible for final approval and submission. The process for determining authorship and resolving authorship disputes is described in the IP/Knowledge and Innoviation Management Plan D9.4 & D9.5.

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4 Research misconduct

The European Code of Conduct defines research misconduct as fabrication, falsification, or plagiarism (the so-called FFP categorisation) in proposing, performing, or reviewing research, or in reporting research results.
These three forms of violation are considered particularly serious since they distort the research record. There are further violations of good research practice / questionable research practices that damage the integrity of the research process or of researchers.

If allegations of misconduct are raised or misconduct is suspected in relation to any partner institution or individual project member the PC will ensure a fair investigation process (see below). This process may be lead by the University of Oslo or it may be led by the institution employing the researcher against whom an allegation had been made, depending on the rules of the employing organisation.
The Project Coordinator will take advice from the University of Oslo Academic Ombudsman, Professor Knut Ruyter.

If the investigation finds that there is fabrication, falsification or plagiarism or other serious misconduct the PC will take steps to exclude the researcher and/or partner from the consortium as well as report the research misconduct to the relevant authorities.

If the investigation finds that there have been questionable research practices, the PC will take steps to ensure that the research record is rectified if necessary and the research is properly replicated.

In line with the European Code of Conduct, the following principles will be the basis of any investigation process.

Integrity

- Investigations are fair, comprehensive and conducted expediently, without compromising accuracy, objectivity or thoroughness.
- The parties involved in the procedure declare any conflict of interest that may arise during the investigation.
- Measures are taken to ensure that investigations are carried through to a conclusion within a reasonable time frame.
- Procedures are conducted confidentially in order to protect those involved in the investigation.
- Institutions protect the rights of ‘whistle-blowers’ during investigations and ensure that their career prospects are not endangered.

Fairness

- Investigations are carried out with due process and in fairness to all parties.
- Persons accused of research misconduct are given full details of the allegation(s) and allowed a fair process for responding to allegations and presenting evidence.

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- Action is taken against persons for whom an allegation of misconduct is upheld, which is proportionate to the severity of the violation.
- Appropriate restorative action is taken when researchers are exonerated of an allegation of misconduct.
- Anyone accused of research misconduct is presumed innocent until proven otherwise.

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