



UNIVERSITY OF
WINCHESTER

Research Data and Records Management Policy

Research and Innovation Directorate

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Summary: The University recognises that open, accurate, reproducible, and retrievable research data are an essential component of any research project and are necessary to verify and reproduce the process and outcomes of research. This document details the University policy for the appropriate management of research data and records. It is a revised and updated version of the University Research Data and Records Management Policy approved by Senate [RKE] Committee in March 2015. The Policy should be read in conjunction with the University Research Data Sharing and Archiving Procedure.	

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Research Data and Records Management Policy

1. Introduction

The University of Winchester (henceforth referred to as 'University') recognises that open, accurate, reproducible and retrievable research data are an essential component of any research project and are necessary to verify and reproduce the process and outcomes of research. The majority of external funders of research also have an expectation and requirement for open access, including data. This document details the University policy for the appropriate management of research data and records. The policy is informed by the research data policies and principles of national and international research funders and of other universities. It is written in the context of a sector-wide move towards open research, which embodies good research practice through opening up access to and participation in research.

2. Scope

This policy applies to all researchers; staff, research students and affiliates of the University who generate research as part of their work.

3. Definition

Research data and records are defined as the recorded information (regardless of the form or the media in which they may exist) necessary to support or validate a research project's observations, findings or outputs.

4. Purpose

The objectives of this policy are as follows:

- Ensure that research data and records are kept in a manner that is compliant with legal obligations and, where applicable, the requirements of funding bodies and project-specific protocols
- Efficiently manage information relating to research data for internal purposes and external research evaluation
- Increase the accessibility of research data and records to a broad audience
- Support researchers to facilitate the effective dissemination of knowledge generated from research data
- Enhance the reputation of the University and its researchers by improving the visibility of research data produced at the University, and utilisation of research data produced elsewhere and downloaded from external servers
- Demonstrate the University's commitment to the principles of openness, transparency, and knowledge sharing, and contribute to the global scholarly community by sharing and reusing open research data

5. Policy Statement

- 5.1. The University seeks to promote the highest standards in the management of research data and records¹ as fundamental to both high quality research² and academic integrity.
- 5.2. The University recognises that open, reproducible and retrievable research data are an essential component of any research project and are necessary to verify and reproduce the process and outcomes of research. Research data are valuable to researchers for the duration of their research and after research results have been published. The data may also have long-term value for future research, teaching and for wider exploitation for the public good, by individuals, government, business and other organisations.
- 5.3. The University acknowledges its obligations under research funders' data-related policy statements³ and codes of practice to ensure that sound systems are in place to promote best practice, through clear policies, guidance, supervision, training and support.
- 5.4. Researchers⁴, departments, faculties, academic and professional services and, where appropriate, research sponsors and external collaborators, need to work in partnership to implement good practice and meet relevant legislative, research funder and regulatory requirements.
- 5.5. Research data and records should be kept in accordance with FAIR principles⁵, meaning they should be Findable, Accessible, Interoperable and Reusable. In addition to this they should be:
 - 5.5.1. Accurate, complete, authentic and reliable;
 - 5.5.2. Secure and safe;
 - 5.5.3. Kept in a manner that is compliant with legal obligations and, where applicable, the requirements of funding bodies and project-specific protocols approved under the University Research & Knowledge Exchange Ethics Policy and Procedures.⁶
- 5.6. Research data and records should be retained for as long as they are of continuing value to the researcher and the wider research community, and as long as specified by the research funder, patent law, legislation and other regulatory requirements. The minimum retention period for research data and records is ten (10) years after publication or last access of the work of the dataset. In many instances, researchers will resolve to retain research data and records for a longer period than the minimum requirement.

¹ Research data and records are defined as the recorded information (regardless of the form or the media in which they may exist) necessary to support or validate a research project's observations, findings or outputs.

² Research is defined as per the Frascati manual (2015), available at <https://doi.org/10.1787/9789264239012-en> i.e. creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humankind, culture and society, and the use of this stock of knowledge to devise new applications.

³ An overview of the major research funders' data policies is available at <https://www.ukri.org/councils/>. See also the UKRI Common Principles on Data Policy at <https://www.ukri.org/manage-your-award/publishing-your-research-findings/making-your-research-data-open/>

⁴ Researchers are defined as members of the University including staff and doctoral students, and those who are not members of the University but who are conducting research on University premises or using University facilities.

⁵ <https://www.go-fair.org/fair-principles/>

⁶ [RKE Ethics Policy and Procedures \(winchester.ac.uk\)](https://www.ukri.org/manage-your-award/publishing-your-research-findings/making-your-research-data-open/)

- 5.7. For as long as they are retained, research data should be made freely available to the public, unless there are compelling reasons not to do so.
- 5.8. Where research is supported by a contract with, or a grant to, the University that includes specific provisions regarding ownership, retention of, and access to data, the provisions of that agreement will take precedence. For this reason, data requirements in funding agreements should be scrutinised for good practice before a contract is entered into.
- 5.9. If research data and records are to be deleted or destroyed, either because the agreed period of retention has expired or for legal or ethical reasons, this should be done so in accordance with all legal, ethical, research funder and collaborator requirements and with particular concern for confidentiality and security.

6. Individual Responsibility

- 6.1. Researchers are required to consult the [Research Data Sharing and Archiving Procedure](#) when creating a data management plan (DMP) and to follow the guidelines therein. Within the context of this procedure, researchers must:
- 6.2. Manage research data and records in accordance with the principles and requirements in section 5 above;
- 6.3. Develop and document clear procedures for the collection, storage, use, re-use, access and retention or destruction of the research data and records associated with their research. This shall include, where appropriate, defining protocols and responsibilities in a joint or multi-institution collaborative research project. This information should be incorporated, where appropriate, in a research data management plan;
- 6.4. Plan for the on-going custodianship (at the University or using third-party services) of their data after the completion of the research or, in the event of their departure or retirement from the University, reaching agreement with the Head of Department/Dean of Faculty (or his/her nominee) as to where such data will be located and how this will be stored;
- 6.5. Alert the University to the location of any research data that is hosted by a third-party service by creating a record in the institutional CRIS or repository;
- 6.6. Ensure that any requirements in relation to research data and records management placed on their research by funding bodies or regulatory agencies or under the terms of a research contract with the University are also met;
- 6.7. Ensure that such requirements are fair and in line with good practice

7. Institutional Responsibility and Support

The University is responsible for:

- 7.1. Providing access to services and facilities, as fully costed by researchers and submitted following internal approval processes, for the storage, backup, deposit and retention of research data and records to enable researchers to meet their requirements under this policy and those of the funders of their research.
- 7.2. Providing guidance on the selection of appropriate online platforms for open data archiving (see *Research Data Sharing and Archiving Procedure*)

- 7.3. Providing researchers with access to training, support and advice in research data and records management;
- 7.4. Providing the necessary resources to those operational units charged with the provision of these services, facilities and training.

8. Monitoring and Reporting

- 8.1. The Research and Innovation Directorate will monitor compliance with research data requirements and provide reports on the adoption and impact of practices relating to research data management and usage.

9. Exceptions and Embargoes

- 9.1. Exceptions to open access data sharing may be considered for specific research outputs
 - 9.1.1. based on valid justifications, such as contractual obligations, intellectual property rights, or
 - 9.1.2. ethical considerations.
 - 9.1.3. Embargoes may be applied to research data to allow for a reasonable period before open
 - 9.1.4. access is provided, considering discipline-specific norms, publisher policies, and funding
 - 9.1.5. requirements. Embargo periods should be kept as short as possible.
 - 9.1.6. These exceptions must be agreed by the funders and as part of the submitted Data
 - 9.1.7. Management Plan.

10. Policy Review

The Director of Research and Innovation is responsible for guiding the development and updating of this policy. The policy will be periodically reviewed by Senate Research & Innovation Committee to ensure its effectiveness and alignment with evolving practices and policies in research data and records management.

11. Links to other Key Documents

This policy will operate in conjunction with other University policies such as:

- Ethics Policy and Procedures
[RKE Ethics Policy and Procedures \(winchester.ac.uk\)](http://winchester.ac.uk/rke-ethics-policy-and-procedures)
- Intellectual Property Policy and Regulations
[Intellectual Property Policy & Regulations \(sharepoint.com\)](http://sharepoint.com/intellectual-property-policy-regulations)
- Data Protection Policy
[Data Protection Policy \(winchester.ac.uk\)](http://winchester.ac.uk/data-protection-policy)
- Open Access Policy
[Open Access Policy \(winchester.ac.uk\)](http://winchester.ac.uk/open-access-policy)
- Information on Pure:
[PURE | Winchester \(omniacloud.net\)](http://omniacloud.net/pure)

Research Data Sharing and Archiving Procedure

Introduction

As stated in the *Research Data and Records Management Policy* [link], “[t]he University recognises that open, accurate, reproducible and retrievable research data are an essential component of any research project and are necessary to verify and reproduce the process and outcomes of research.” When sharing and archiving research data there are a number of considerations, including funder requirements, platform selection, accessibility of data and long-term storage. This procedure sets out best practice for researchers; any member of staff, research student or affiliate of the University of Winchester involved in research activities at the University, in preparing to share their research data.

Creating a data plan

It is recommended that you produce a data management plan (DMP) prior to beginning research, to ensure that data is consistently and securely stored. Data plans may be created with DMPonline, available at <https://dmponline.dcc.ac.uk/>, a tool developed by the Digital Curation Centre. You can sign in to DMPonline with your University of Winchester credentials.

Where to put your data

The University of Winchester does not have a data repository. Datasets may be placed in Pure, our CRIS and Open Access repository, but Pure is not designed for this purpose.

External repositories should be selected in the following order of preference:

1. Repositories required or preferred by your funder.
2. Zenodo, an EU-funded and CERN-backed platform that makes your data accessible, assigns it a DOI, and commits to storing it “for as long as CERN exists”. You will need to have an ORCID ID to use this platform, and after creating an individual account, you may choose to form a community with other researchers. Zenodo is free to use. Available at <https://zenodo.org/>.
3. Figshare, a privately owned platform that is endorsed by the Committee for Publication Ethics (COPE), among others. Figshare is part of Digital Science, a portfolio of services that support open research. It is free for individuals, though some universities have institutional accounts. Like Zenodo, Figshare will assign a DOI to your dataset and commits to long-term storage of your data. Available at <https://figshare.com/>.
4. Subject-specific repositories. To select a repository, the University recommends using <https://www.re3data.org/search>. You may also wish to ensure that the repository you select is certified by CoreTrustSeal, <https://www.coretrustseal.org/>.

Typically, you will need to create an account with any of these platforms before you store your data there. For support in this process please contact repository@winchester.ac.uk.

Letting us know

Once you have stored your data in an external repository, you **must** create a record in Pure linking to the data. Pure may be accessed at <https://cris.winchester.ac.uk/admin/>. Once there, follow these steps:

1. Click the green button in the upper right that reads “Add content”. A window will open.
2. On the left-hand side of this window, select Project.
3. From the menu on the right, select Research.
4. Fill in all required fields (marked with a red asterisk).
5. In the “Files and Links” section, click Add Link and enter the DOI of your dataset.
6. Fill in any other fields you like. You are encouraged to link the project to related activities, publications, etc that are also recorded in Pure; find these sections toward the bottom of the record.

7. Click Save.

If you have chosen to save your data in Pure, and not in an external repository, follow the same steps; but for step 5, instead of linking to an external repository, upload all datasets to the Files and Links section.

Equality Impact Assessment	
Summary of process undertaken to determine equality impacts:	<p>The policy was revised and updated from a previous version approved by the (then) Senate Research and Knowledge Exchange Committee in March 2015. The revised draft was shared with researchers in the institution, the Director of R&I Operations, and with the Director of Knowledge and Digital Services, who provided input on underlying principles, context, procedure and access requests (included in Data Management Plans).</p> <p>The policy relates to how the university manages the process of managing research data and records. As a result, the policy itself has minimal impact on colleagues, it simply exists to provide a process and guidance surrounding this activity.</p> <p>The standardised approach ensures that all academics, regardless of background, have equal access to the rules and expectations regarding data management.</p> <p>Academics are provided with training, support, and tools (like access to platforms and procedural guidance), which can particularly benefit those newer to the institution or with less experience in data handling.</p>
University Committee (name/ date) where equality impacts discussed (may be Committee of approval, or another):	Consultation was also via Committee: the policy was approved at Senate R&I Committee (which includes Faculty representatives) in September 2024 and received feedback from Senate (December 2024).
Identified equality impact(s) on colleagues and students (i.e. any specific impacts related to this policy that may cause disadvantage for people due to one or more particular protective characteristic)	
Protected Characteristic	Impact(s) identified and any action(s)/mitigation(s) to address these impact(s), as necessary.
Age	No bias against any group as based on process.
Disability	No bias against any group as based on process.
Gender Identity	No bias against any group as based on process.
Marriage/Civil Partnership	No bias against any group as based on process.

Pregnancy and Maternity	No bias against any group as based on process.
Race (incl. nationality)	No bias against any group as based on process.
Religion and Belief	No bias against any group as based on process.
Sex	No bias against any group as based on process.
Sexual Orientation	No bias against any group as based on process.