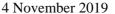
Reg. no V 2019/1904





Legal Division and Records Management Records Management and Archives Office Åsa Berglund, head of division

Disposal of research documents within Lund University

Background

The management of research documents within Lunds University is based on the regulations and general advice of the Swedish National Archives on the disposal of documents in research activities run by public authorities, RA-FS 1999:1. The public authority is to decide on the application of regulations on disposal. The public authority's decisions should be formulated as disposal and preservation plans for different subject fields.

Decisions on the disposal of public records at Lund University are taken by the head of the Records Management and Archives Office

A general application decision on the disposal of research documents within Lund University has been in effect since 23 March 2015. Subsequently, some faculties (subject areas have decided on specific disposal and preservation plans.

Decision

The local application decision regarding disposal of research documents, reg. no V 2015/494, is hereby rescinded and replaced by the present decision on disposal of research documents within Lund University, according to the regulations below.

The regulations below apply to all faculties that do not have their own plan for disposal and preservation. The faculties that have their own plans are to follow the instructions in these.

Introduction

The instructions "to be registered" and "to be filed systematically" follow Lund University's record management plan's area of activity 4, Research.

"To be filed systematically" refers to different levels of archive management. The basic level is the system that the researcher creates during the project. The final level is the professional archive management of documents in accordance with the regulations of the Swedish National Archives and the University's application of these.

1 Purpose, method and results

Document	Disposal/preservation	Management
Basic information on the	To be preserved.	To be registered:
purpose, method and results		Project descriptions and project
		plans, method descriptions and
		method instructions, intermediate
		and final research reports, reports
		on organised seminars,
		conferences and similar
		gatherings.
		To be filed systematically:
		Published research results.

2 Finances, ethical review, permits, governance, important correspondence

Document	Disposal/preservation	Management
Applications and decisions on research funding	To be preserved.	To be registered.
Contracts with research funding bodies	To be preserved.	To be registered.
Agreements on commissioned research	To be preserved.	To be registered.
Final financial reports	To be preserved.	To be registered.
Applications and decisions concerning ethical review or other permits for certain stages of the research	To be preserved.	To be registered.
Minutes or notes from meetings with a governing unit for the research, e.g. steering group and reference group meetings	To be preserved.	To be filed systematically.
Important correspondence	To be preserved.	To be registered or filed systematically.

3 Clinical drug trials (research on medicines and medical devices)

Disposal/preservation	Management
All documents that are not primary	Preserved documents are to be registered or filed
material are to be preserved. Primary	systematically according to the instructions in the
material is disposed of or preserved	record management plan's area of activity 4,
according to the regulations that apply	Research. Other documents are disposed of
for specific clinical drug trials. If there	according to the retention period stated in the
are no regulations about disposal, an	regulations for specific clinical drug trials or, if
assessment is made according to	there are no disposal regulations, according to the
section 4.2 below.	quality system Good Clinical Practice (GCP) after
	a retention period of 15 years.

4 Primary material

4.1 Documents that are always to be preserved

Document	Disposal/preservation	Management
Project journals (journals	To be preserved.	To be filed systematically.
that document, in		
chronological order, certain		
stages of the research, e.g.		
laboratory logbooks)		
Registers and databases	To be preserved.	To be filed systematically.
involving data with a		
particularly high degree of		
coverage and verifiability		
Documents that shed light	To be preserved.	To be filed systematically.
on the historical		
development of a scientific		
discipline		
Documents that shed light	To be preserved.	To be filed systematically.
on an academic environment		
from a cultural history		
perspective		
Documents that shed light	To be preserved.	To be filed systematically.
on prominent people's work		
Documents concerning	To be preserved.	To be filed systematically.
research that has attracted		
considerable attention as a		
topic in public debate or		
which can be expected to		
have this effect when the		
research results reach a		
wider public		

4.2 Documents that are to be rated for preservation

The rating for preservation is to be conducted at the department/equivalent concerned in a consultation between the head of department/equivalent and the managers of the research project concerned at the latest by the end of the research project.

The basis for the rating is whether the documents are unique or could only be recreated with great difficulty. If this is the case, they are to be preserved. In other cases, they are to be disposed of after the following retention periods:

Documents from research that has not	To be disposed of 10 years after the research	
received funding from the EU	results have been published	
Documents from research that has received	To be disposed of 17 years after the research	
funding from the EU	results have been published	

Document	Disposal/preservation	Management
Documents stemming from clinical trials	To be disposed of or preserved.	The documents that are to be preserved are to be filed systematically
Documents stemming from measurements	To be disposed of or preserved.	The documents that are to be preserved are to be filed systematically.
Documents stemming from surveys	To be disposed of or preserved.	The documents that are to be preserved are to be filed systematically.
Documents stemming from interviews	To be disposed of or preserved.	The documents that are to be preserved are to be filed systematically
Documents stemming from observational studies	To be disposed of or preserved.	The documents that are to be preserved are to be filed systematically
Documents stemming from other procedures	To be disposed of or preserved.	The documents that are to be preserved are to be filed systematically

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Management
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Office