



LUNDS
UNIVERSITET

DECISION

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4 November 2019

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 no V 2015/494, is hereby rescinded and replaced by the present decision on disposal of research documents within Lund University, according to the regulations below.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 purpose, method and results	To be preserved.	<i>To be registered:</i> Project descriptions and project plans, method descriptions and method instructions, intermediate and final research reports, reports on organised seminars, conferences and similar gatherings. <i>To be filed systematically:</i> 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 material are to be preserved. Primary material is disposed of or preserved according to the regulations that apply for specific clinical drug trials. If there are no regulations about disposal, an assessment is made according to section 4.2 below.	Preserved documents are to be registered or filed systematically according to the instructions in the record management plan's area of activity 4, Research. Other documents are disposed of according to the retention period stated in the regulations for specific clinical drug trials or, if there are no disposal regulations, according to the quality system <i>Good Clinical Practice (GCP)</i> 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 that document, in chronological order, certain stages of the research, e.g. laboratory logbooks)	To be preserved.	To be filed systematically.
Registers and databases involving data with a particularly high degree of coverage and verifiability	To be preserved.	To be filed systematically.
Documents that shed light on the historical development of a scientific discipline	To be preserved.	To be filed systematically.
Documents that shed light on an academic environment from a cultural history perspective	To be preserved.	To be filed systematically.
Documents that shed light on prominent people's work	To be preserved.	To be filed systematically.
Documents concerning 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	To be preserved.	To be filed systematically.

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 received funding from the EU	To be disposed of 10 years after the research results have been published
Documents from research that has received funding from the EU	To be disposed of 17 years after the research 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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 Office