



**LUNDS**  
UNIVERSITET

DECISION

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6 December 2016

Reg. no V 2016/1945

Legal Division and Records Management  
Records Management and Archives Office  
Åsa Berglund, Head of Division

## **Plan for the destruction and preservation of research documents within the Faculty of Medicine**

### **Background**

The plan is based on the regulations and general advice of the Swedish National Archives on the destruction of documents in research activities run by public authorities, RA-FS 1999:1.

The general advice of the Swedish National Archives states that the public authority's decision on the application of these regulations should take the form of plans for the destruction and preservation of documents for various subject areas, but also states that the destruction of documents can also be decided by the public authority after a case-by-case review.

The latter approach is that currently applied at Lund University pursuant to the local application decision on the destruction of research documents from 2015 (reg. no V 2015/494).

This procedure has proved to be too time-consuming and plans have therefore been made to gradually replace the general decision on the application of regulations with plans for specific subject areas in line with the first recommendation made by the Swedish National Archives.

A start has been made with the Faculty of Medicine. In consultation with representatives for medical research, research management and research administration, the Records Management and Archives Office has developed a proposed plan for the destruction and preservation of research documents within the faculty's subject area.

The proposal was adopted by the Department Head Council of the Faculty of Medicine on 28 November 2016.

For the Faculty of Medicine, the plan replaces Lund University's local application decision of RA-FS 1999:1, reg. no V 2015/494.

### **Decision**

It is hereby decided that, as of 1 January 2017, the following plan for the destruction and preservation of documents shall apply to research documents within the Faculty of Medicine. The plan is also to be applied in the assessment of older documents for destruction and archiving. However, there is to be no retroactive registration of documents.

Åsa Berglund  
Head of Division

## ***Introduction***

The plan consists of two parts: one part covering specific research areas and another general part. The general part comprises three sections: a basic section on aim, method and results, a section on governance and administrative documents and a section on primary material.

The instructions for the administrative handling of documents (“registration”, “systematic filing”) follow Lund University’s Records Management Plan, area of activity 4, Conducting Research.

The term “systematic filing” refers to different levels in filing and registration work. The basic level is the systematic filing that each specific research project and researcher creates in conjunction with their research work.

Detailed information on document management and archiving can be found on the Record Management and Archives Office’s website. For electronic documents, there are basic instructions in the Guidelines for the preservation of electronic documents at Lund University, reg. no V 2016/920.

The research documents of doctoral students are considered part of Lund University’s stock of public documents.

Organic research material (blood, etc.) is not considered a public document and is therefore not included in the plan for the destruction and preservation of research documents.

## **1 Specific research areas**

<b>Document</b>	<b>Destruction/preservation</b>	<b>Management</b>
Population studies (population sampling relating to the search for diseases and risks of disease)	All documents to be preserved.	To be registered or filed systematically according to the instructions for different types of documents in the Records Management Plan.
Disease-based studies (sampling of people with a specific disease)	All documents to be preserved.	To be registered or filed systematically according to the instructions for different types of documents in the Records Management Plan.
Clinical drug trials (research on medicines and medical devices)	All documents that are not primary materials to be preserved. Primary material is destroyed or preserved according to the rules applicable to that particular clinical trial. If there is no provision for destruction, an assessment is made in accordance with section 2.3 below.	Documents to be preserved are registered or filed systematically according to the instructions for different types of documents in the Records Management Plan. Other documents are to be destroyed after the period specified in the regulations for the specific project or, if there is no regulation for disposal, according to the Good Clinical

		Practice (GCP) quality standard, with a 15-year preservation timeframe.
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## 2 Other

### 2.1 Aim, method and results.

Document	Destruction/preservation	Management
Basic information on the aim, method and results in the respective research project.	To be preserved.	<p><i>To be registered:</i> Project descriptions or project plans, methods descriptions or method instructions, intermediate and final research reports, reports on conferences etc. organised by the project.</p> <p><i>To be filed systematically:</i> Published research results (articles, books).</p>

### 2.2 Documents related to research funding, project governance, ethical review, external contacts and financial reporting

Document	Destruction/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 contract research	To be preserved.	To be registered.
Minutes or notes from meetings within the research project, e.g. steering group and reference group meetings	To be preserved.	To be registered.
Applications and decisions concerning ethical review or other permits for certain elements within a research project	To be preserved.	To be registered.
Important correspondence	To be preserved.	To be registered or filed systematically.
Final financial reports	To be preserved.	To be filed systematically.

### 2.3 Primary material

Document	Destruction/preservation	Management
Laboratory or other project journals	To be preserved.	To be filed systematically.
Documents gathered	To be preserved.	To be filed systematically.

through experiments, measurements, surveys, interviews, observational studies, etc., which are unique or could only be recreated with great effort.		
Primary material that is not deemed to have long-term preservation value*.	To be destroyed.	To be destroyed 10 years after the end of the project. In the case of EU financed projects, to be destroyed 17 years after the end of the project.

\* This plan applies as a general decision on the destruction of these documents. The destruction assessment is carried out by the project manager and the researchers.