

Guidelines for the preservation and destruction of research documents at the University of Borås

Based on Chapter 4, Section 6 of the Vice-Chancellor's Organisational and Decisionmaking Order (ROB for its Swedish name rektors organisations- och beslutsordning), the Head of Professional Services makes the decision that the following guidelines will apply at the university.

Background

According to Chapter 2, Section 3 of the Freedom of Press Act, a public record is something that is kept by an authority and is deemed to be received or established by the authority. This means that research documents are also considered public if the research is conducted as part of work for an authority (such as the university) and the documents are to be regarded as received or established. The National Archives, which is the university's archives authority, regulates, among other things, the destruction of the university's documents. This also applies to documents related to the authority's research activities, and therefore a decision on how to handle the preservation and destruction of these documents is to be established within each respective authority.

<i>Research activities</i>	means basic research, applied research and development work undertaken at the university under Chapter 1, 2 § p. 2 of the Higher Education Act.
<i>Research projects</i>	are defined as a time-limited research activity, often linked to a particular assignment or to certain persons.
<i>Research leader</i>	is the project manager for a research project.
<i>Document management plan</i>	is a plan for how specific research documents are to be preserved or destroyed.
<i>Public document</i>	means a document that has either been received by or established at the university. "Received" means documents that came from any third party via the post, e-mail etc. "Established" means documents created by employees of the university.

Destruction means removing and destroying public records/documents.

Deletion means removing and destroying documents that are not public documents and therefore are not to be archived.

Preservation of research documents

Documents that are to be preserved Documents containing basic information about the purpose, method and results of each research project should always be preserved in accordance with the attached document management plan.

Other documents that are to be preserved are those that:

- are expected to have continued scientific value
- have a value for another research area
- are deemed to be of a large scientific, cultural historic, or personal-history value
- are considered to be of major public interest

Examples of documents that are to be preserved are:

- documents that constitute particularly comprehensive primary materials collected by experiments, measurements, surveys, interviews, etc., which are unique or can only be recreated with great effort;
- registries or databases regarding data with a high degree of coverage and controllability;
- documents that illustrate the historical development of a scientific discipline;
- documents that illustrate the academic environment in a culture-historical perspective;
- documents that illustrate the activities of a noted person, and;
- documents related to research that have attracted much attention in general debate or which can be expected to do so when the research results are more widely disseminated.

Documents that should be preserved Other documents that should be retained are those that reflect the project's disposition regarding, for example, economic conditions and external contacts as well as any changes in the project during the course of work.

Destruction of research documents

Destruction may occur Destruction may and should occur after the time point or deadlines set in the document management plan.

Destruction may not occur Destruction must not occur with documents that, according to the document management plan, are to be retained.

In addition, no destruction of documents may occur before:

- research results of each project have been reported and published in another way,
- reasonable time has elapsed so that it has been possible to review the documents to verify research results and
- financial reporting has been completed.

Media and data storage

The document management plan applies regardless of the medium or data storage devices the documents were created in. It is important that the documents are made as system-independent as possible so that they can be read, understood and transferred to another data storage devices, and converted or migrated throughout the entire time they are to be retained.

Archiving routine

Archiving

Documents to be preserved must be submitted to the university archives once the research results have been reported. Submission shall be in accordance with the procedures established by the archives.

Responsibility

*Dean of
Faculty/Unit
Manager*

The Dean of Faculty or unit manager has, in accordance with Chapter 5, Section 2, the board's Organisational and Decisionmaking Order (ROB for its Swedish name, organisations- och beslutsordning) has the overall responsibility for ensuring that the research activities meet the requirements set out in these guidelines.

*Research
Leader*

The research leader is responsible for ensuring that the material produced in connection with research activities is well organised. This means that the material is arranged in such a way that it can easily be identified as described in the document management plan as well as if, when or how it is to be preserved or destroyed or deleted.

When documenting research materials, the research leader is to follow the instructions given by the archivist at the university.

This decision has been taken by the Head of Professional Services on 22 June 2010 to be valid beginning 23 June 2010.

The decision (formerly Reg. 379-10) has been revised on 23 January 2015 in accordance with the Board's decision (Reg. 263-14). Document Management Plan (Reg. 894-09) is not covered by this change, but rather remains valid.

Appendix Document Management Plan

Document Management Plan at the University of Borås

This document management plan is an appendix to the document Guidelines for the preservation and destruction of research documents at the University of Borås, Reg. 52-15.

Explanations regarding this document management plan

The plan is divided into two columns in which "documents" describe the type of data and "retention period" describes if the document is to be preserved, deleted, or destroyed.

- Preserve → The document will be saved forever.
- Delete → The document is not yet public record, so is not to be destroyed per se, but is to be deleted.
- Register → Daily registration of incoming and outgoing documents. (The document is kept in the archives as a registered document).
- Destroy when no longer applicable → the document can be destroyed when it is no longer applicable.

Administrative documents are continually sent to the university's archives for registration and retention until they come to the final repository in the university's central archives.

Primary materials are the documents that are the basic material of research.

Processing material is the material that can be termed "work material" which thus has not become a public record.

Report materials are some form of reporting of conclusions, discoveries, discussions, etc. concerning the research.

Formal administrative documents

Document	Retention period and management
Project/grant application with decision on grants (refusal or approval)	Registered
Assignment agreements and contracts	Registered
Project plan/description (including cost, financing and method) including revisions	Registered
Project diary (registration of incoming and drawn-up documents in chronological order)	Preserved
Permit applications for projects with decisions on permits (refusal or approval from e.g. ethics committees, data inspection, environmental testing agencies)	Registered
Minutes or equivalent notes from steering group and/or reference group meetings	Preserved
Survey forms	Preserved
More important correspondence, including e-mail (e.g., clients and financiers)	Registered
Routine correspondence	Destroyed when no longer applicable
Interim reports	Registered
Final report to clients and financiers with approval and, if relevant, added information	Registered
Financial final accounting	Registered

Primary Materials

Documents	Retention period and management
Surveys	Preserved
Audio and video recordings	Preserved
Data files from analysis and processing of primary materials	Preserved
Calculations, measurement and test results	Preserved
Code and variable lists	Preserved
Dated and signed protocols from investigations and attempts	Preserved
Other primary materials	Preserved

Processing Materials

Documents	Retention period and management
Draft	Delete when no longer applicable or at the latest when the project is completed
Concept	Delete when no longer applicable or at the latest when the project is completed
Rough drafts	Delete when no longer applicable or at the latest when the project is completed
Excerpts from writing	Delete when no longer applicable or at the latest when the project is completed
Data files that are dependent parts of ongoing data processing	Delete when no longer applicable or at the latest when the project is completed
Compilations	If they have the character of an interim report, they must be kept or they will be deleted when no longer applicable or at the latest when the project is completed
Other processing materials	Delete when no longer applicable or at the latest when the project is completed

Report Materials

Documents	Culling deadline
Articles	Retained
Conference reports	Retained
Doctoral theses	Retained
Scientific Final Reports	Retained
Books	Retained
Book chapter	Retained
Working paper	Retained
Presentations/Articles	Retained
Software products	Retained
Films	Retained
Interim Reports	Retained