Management Instructions for Research Documentation
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Links

1. Document Management Plan Operational Area 5 – Conducting Research:

2. Linnaeus University on Electronic Legal Deposit
   E-plikt

3. Data Management Swedish National Data Service (SND):

4. Swedish National Archives’ Code of Statutes:
   RA-FS 2013:4 Regulations concerning Archival Premises
   RA-FS 1999:1 Regulations concerning Research Documentation
   https://riksarkivet.se/rafspdf=rafsp/RA-FS%201999-01.pdf
1 Introduction

1.1 Background
The Swedish Archives Act (SFS 1990:782, amended SFS 2015:604) stipulates that public authorities’ archives shall be preserved, kept organized and cared for so as to satisfy:

- the right to read official documents
- the need for information for the administration of justice and public administration
- the needs of research

Public authorities’ archives are part of Sweden’s cultural heritage. Research that is conducted within a public authority is considered to belong to that authority, regardless of how it is financed. Consequently, research activities are encompassed by the principle of public access to official documents. This means that the rules concerning official documents in the Swedish Freedom of the Press Act must also be applied to research documentation. On a purely practical level, this means that research activities must generate satisfactory documentation and comply with the rules for disposing and preservation.


1.2 Responsibility for management of research documentation
The dean of each faculty is ultimately responsible for ensuring that research documentation is managed correctly. This responsibility also includes ensuring that the faculty has approved archival premises (or filing cabinets with the corresponding protective classification) in which the research documentation can be stored. It is necessary to have extra protective measures in place for documents that are affected by confidentiality. In practice, it is the person in charge of the project who looks after the management of the research documentation. This responsibility includes the following duties:

- Deciding what should be preserved/ disposed
- Organising the research documentation in such a way that it is possible to easily identify what is to be preserved or disposed
- Protecting the material from destruction or unauthorised access and storing it in the designated archive
- Ensuring that completed research projects are not split up or removed from the faculty or the department prior to their potential delivery to the central archive
- Ensuring that documentation from the research project is kept organised and searchable both while the project is ongoing and after it is completed
- Disposing documents when the retention period has passed

As early as the start of the project, it shall be decided how documentation from the project is to be managed; for example, what has to be preserved, what is to be disposed and how the documentation is to be stored. This is primarily a requirement when documentation from a project may contain sensitive personal data or parts that are covered by confidentiality.
1.3 Support for research data management - Data Access Unit (DAU)
Both nationally and within the EU, work is underway for a transition to an open science system. In Sweden, the Swedish Research Council has been commissioned to develop guidelines for how this transition will be carried out, and the goal is that such a system should be in place in 2025. At Linnaeus University, there is a supporting unit for handling matters regarding research data, called the Data Access Unit (DAU) that is operated in collaboration with the national research infrastructure Swedish National Data Service, SND.

The DAU at Linnaeus University is run by staff from the Executive Office, the University Library, the IT Office and the Grants and Innovation Office.

Linnaeus University’s Data Access Unit (DAU):
https://lnu.se/en/library/research-support/research-data/

Data management plan
SND recommends that researchers create a data management plan, even though this is not currently required by funding bodies in Sweden. This describes what is to take place with the data during and after the research project. By planning how data is to be managed during both the data-gathering process and in conjunction with long term preservation and making it available, the plan can contribute to the management of the material being structured both while the project is ongoing and in the longer term.

Linnaeus University’s (DAU): dau@lnu.se och gio@lnu.se


2 Management of Research Documentation During Ongoing Research Projects

2.1 Document management
The management instructions for research documentation apply regardless of which medium the documents are stored in. Both analogue and digital documents shall be kept organised and searchable.

From an archival and document management perspective, we at Linnaeus University have divided up a research project into five processes:

- Planning and administration of research
  This includes grant applications, agreements/contracts, project descriptions, decisions concerning funds, permit applications, financial reporting and other material of an administrative nature.

- Collecting data
  This denotes primary data in the form of, for example, questionnaires, interview material, statistics, maps and blueprints, notes from investigations, experiments or equivalent, measurement and test results, sound and video recordings.

- Analysing data
  This denotes all forms of documentation of measurement and
registration methods, current trials or experiments and of selection criteria and interpretation of data.

- Evaluating and reviewing data
  This includes documentation that is created within the scope of peer review.

- Reporting data
  This denotes the reporting of results in the form of interim reports, final reports, articles, licentiate theses, doctoral theses, etc.

**Searching: documentation – registration**

In order to make it possible to search within the research documentation both while the project is ongoing and after it is completed, it is important to keep the documentation in good order. It has to be easy to gain insight into the material that is included in the research. Methods and results have to be documented in a way that makes them accessible and able to be reviewed both while the work is ongoing and after the project has been completed. Once the project has been completed, the primary data also has to be kept organised, compiled and accessible so that the results of the research can be reviewed and checked.

While the research project is ongoing, documents have to be registered. This is especially applicable for documentation that is created during the initial phase of the project, for example application documents and project descriptions, and in the end phase when final reporting and reporting take place. These documents have to be sent to the registrar and kept together in case files. Documents that are not registered also have to be kept together in an organised and searchable manner, both while the project is ongoing and after its completion.

**Documents of minor significance**

Documents such as working material, drafts, concepts and other types of documents of temporary and minor significance are to be disposed when they are no longer pertinent. This type of document can be disposed without this being documented. However, working material that verifies research results may not be destroyed without a decision to disposal criteria. Disposable material has to be kept separate from the material that is to be preserved.

**Research ethics**

The Act (2003:460) concerning the Ethical Review of Research Involving Humans


The act pertains to research on people who are alive or dead, on biological material from humans and to research that involve handling sensitive personal data. Every researcher must apply for permission from the ethical review board when they wish to use certain methods.

In cases where a research project is handling sensitive personal data, this shall be reported to the university’s data protection officer (DPO). Keeping research documents well organised is not simply a legal requirement, there are also advantages from the perspective of research ethics. It is not possible to check and review research results and methods without a functioning document management system.
Open data – copyright
A purposeful system for the management of research documentation may 
ultimately be of benefit to future research in those cases where it is interesting and 
desirable to reuse material from older projects. The researcher holds the copyright 
to their own work and thus has sole right to control their own research results. This 
sole right shall guarantee that no one may use the results without the researcher’s 
consent other than in accordance with generally accepted practise. The copyright 
restrictions concern the right to display, make available and produce documents. It 
does not carry any restrictions in terms of the issuance of official documents. In 
other words, the Swedish Copyright Act protects the research results that the 
researcher has arrived at, but does not however cover the primary data.

For management instructions for research documents, please refer to Document 
Management Plan Operational Area 5 – Conducting Research: 

For more detailed information about the management of research documentation, 
please refer to the Swedish National Data Service (SND): 

2.2 Secure archival
In accordance with the Archives Act, the university shall be able to ensure that 
documentation is protected against damage, theft and unauthorised access; in 
particular, it must be possible to protect confidential material containing sensitive 
data. Research documentation that is used in day-to-day operations shall be stored 
in the department for ease of access. Because research documentation is working 
material that is used operationally for a long period, the faculty or department 
shall arrange for its secure storage in approved archival premises. The material 
shall be protected from fire and other damage. In the absence of approved archival 
premises, it is possible to use filing cabinets that are able to withstand fire for 120 
minutes.

2.3 Secure archival of digital documentation
Research documentation in digital form shall preferably be stored on the 
university’s own servers where it is protected from the information being 
destroyed. Other solutions may of course be used, but it is imperative that you 
avoid storing information only on your own local hard disk. There is also a 
requirement to ensure that the digital material is actually readable throughout its 
entire lifespan.

Further information: The Swedish National Archives’ Code of Statutes: RA-FS 
2013:4 Regulations concerning Archival Premises: 
RA-FS 2013:4 Föreskrifter om arkivlokaler.

3 Following the completion of a research project

3.1 Practical management of research documentation
When a research project is completed, the case shall be closed in the register. All 
registered documents that belong to the case shall have been delivered to the 
registrar.
Other documents that are created as part of a research project are also official documents, which means that they belong to the authority’s document portfolio. This also applies to primary data and that these, together with other documentation, shall also be kept organised and managed and reported in a correct manner after the project is complete. Documentation that has to be preserved in accordance with regulations shall be delivered to the central archive. Other material shall be stored in the department or faculty until its retention period has passed. The documentation may then be disposed.

The reporting of the material that will be created during the project shall be planned as early as at the beginning of the project. An assessment shall also be made here of whether the primary data can be of benefit to future research and, if so they shall be preserved.

*From RA-FS 1999:1:*
Section 6 Documents that contain basic information about aim, method and results in each research project shall always be exempted from disposing.

<table>
<thead>
<tr>
<th>Documents that shall always be preserved: Process 5.1 – Planning and administration of research</th>
<th>Grant applications</th>
<th>Are registered</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Agreements/contracts</td>
<td>Are registered</td>
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<td></td>
<td>Decisions concerning funds</td>
<td>Are registered</td>
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<tr>
<td></td>
<td>Project plan/ project-descriptions</td>
<td>Are registered</td>
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<td></td>
<td>Research meta data</td>
<td>Are registered</td>
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<td></td>
<td>Data management plan</td>
<td>Are registered</td>
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<td></td>
<td>Dean certificates</td>
<td>Are registered</td>
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<td></td>
<td>Permit applications (ethics committees, the Swedish Data Protection Authority, environmental assessment bodies, etc)</td>
<td>Are registered</td>
</tr>
<tr>
<td></td>
<td>Decisions concerning permits</td>
<td>Are registered</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Documents that shall always be preserved without being registered Process 5.4 – Evaluating and reviewing data</th>
<th>Correspondence with publicist for peer review</th>
<th>Is preserved</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Peer review</td>
<td>Are preserved</td>
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</tbody>
</table>
Documents that shall always be preserved without being registered:

<table>
<thead>
<tr>
<th>Process 5.5 - Reporting data</th>
<th>Are preserved</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interim reports</td>
<td>Are preserved</td>
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<tr>
<td>Conference reports</td>
<td>Are preserved</td>
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<tr>
<td>Articles</td>
<td>Are preserved</td>
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<tr>
<td>Publications</td>
<td>Are preserved</td>
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<tr>
<td>Results from artistic activities</td>
<td>Are preserved</td>
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<tr>
<td>Requisitions and decisions</td>
<td>Are preserved</td>
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<tr>
<td>concerning partial payments</td>
<td>Are preserved</td>
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<tr>
<td>Final reports</td>
<td>Are preserved</td>
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<tr>
<td>Financial final reports</td>
<td>Are preserved</td>
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</tbody>
</table>

Section 7 In addition to that which is listed in Section 6, such documents that are deemed to have a continued scientific value or value to another research area, that are deemed to be of major value in terms of the history of science, cultural history or personal history, or are deemed to be of major public interest shall be exempted from disposing.

Section 7 pertains to the research project’s primary data. A decision shall be made as to how the material shall be managed as early as the start of the project. Primary data material shall be preserved if it consists of:

- Registries and databases with a particularly high degree of coverage and verifiability

or are regarded as having:

- value in terms of the history of science
- value for another research area
- value in terms of cultural history
- value in terms of personal history
- major public interest

<table>
<thead>
<tr>
<th>Process 5.2 - Gathering data</th>
<th>Are disposed</th>
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<tbody>
<tr>
<td>Primary data. Are disposed</td>
<td>Are disposed</td>
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<tr>
<td>10 years after the project’s</td>
<td>Are disposed</td>
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<tr>
<td>completion, unless a decision</td>
<td>Are disposed</td>
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<tr>
<td>to preserve them has been made.</td>
<td>Are disposed</td>
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<tr>
<td>The person in charge of the</td>
<td>Are disposed</td>
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<td>project may also propose to</td>
<td>Are disposed</td>
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<tr>
<td>extend the retention period.</td>
<td>Are disposed</td>
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<table>
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<tr>
<th>Questionnaires</th>
<th>Are disposed</th>
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<tr>
<td>Sound, images and video</td>
<td>Are disposed</td>
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<tr>
<td>recordings</td>
<td>Are disposed</td>
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<tr>
<td>Measurement and test results</td>
<td>Are disposed</td>
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<tr>
<td>Statistics</td>
<td>Are disposed</td>
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<tr>
<td>Map material</td>
<td>Are disposed</td>
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<tr>
<td>Notes from investigations, experiments or equivalent</td>
<td>Are disposed</td>
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<td>------------------------------------------------------</td>
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<tr>
<td>Diary extracts</td>
<td>Are disposed</td>
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<tr>
<td>Code lists</td>
<td>Are disposed</td>
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<tr>
<td>Laboratory journals</td>
<td>Are disposed</td>
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<tr>
<td>Interviews</td>
<td>Are disposed</td>
</tr>
<tr>
<td>Extracts and summaries of primary material and results</td>
<td>Are disposed</td>
</tr>
<tr>
<td>Simulations and data models</td>
<td>Are disposed</td>
</tr>
<tr>
<td>Patients’ medical records</td>
<td>Are disposed</td>
</tr>
</tbody>
</table>

It is important that the project material is stored separately from other documentation in the department and this is particularly pertinent for confidential documents.

**Management of disposable documents**

The documents that are to be disposed in accordance with the regulations shall be stored in the department or faculty until the disposing deadline. The document portfolio shall be kept compiled, organised and searchable. Furthermore, the same requirements for security apply as did while the project was ongoing. When the retention period has, in accordance with regulations, passed, the documentation shall be disposed.

**Management and delivery of preserved material**

Research documentation that is to be preserved following the completion of the project is sent upon agreement to the central archive for final storage and the legal and financial responsibility for the research documentation is transferred at this time to the Executive Office.

Prior to the documentation being sent to the central archive, it shall be cleared of paper clips, rubber bands, tape and plastic folders – neither plastic nor metal have a place in the archive. In the long term, plastic has a damaging and destructive impact on paper and metal. Paper clips rust and destroy paper.

Documents that are to be preserved shall be printed out on single-sided sheets – otherwise there is a risk that the document will not being readable in future.

The documents are to be placed in a file cover before they are put into box files. If the documents are to be kept together or differentiate one case from another: use file covers (a folded sheet of A3) made of archive and age-resistant paper and describe what is in the file cover by labelling it using a pencil or archive-resistant ink.
Index cards are also to be removed; file covers labelled with details of the content are to be used instead.

Working material and notes that have no significance and do not add anything to the case are also to be sifted out. In addition, Post-It notes are to be removed and always avoid the presence of tape on material that is to be preserved.

With regard to printed publication and compendiums, reports, etc. Do not archive print originals if a printed edition is available. The original may contain tape that falls off after a while, Tipp-Ex that can crack after a while, glue or other substances that damage the document.

*When using boxes*

The boxes are to be packed tightly in order not to bend the material, which happens to paper when the box contains too few documents. Another benefit is that it is more economical to fill the boxes and also tightly packed paper burns poorly in the event of fire. However, the box is not to be filled to the extent that the sides bulge out. Broken and split boxes are disposed of and replaced with new ones.