

Established by: Registry and Archives

Ref. no: FS 1.1-962-18

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Revised on:

Governing regulations are: RA-FS 1999:1, 2002:1, 1991:6, 1997:6, 2012:2

The following records management plan replaces any previous plan and is also to be used retroactively.

Explanations:

Systematically arranged = Information that is not registered is often kept systematically. This could be to collect documents concerning planning and administrating a research project in a project file.

Medium = A common entry under this headline is Paper/digital, which means that the information can be both analog and digital.

Storage = This headline covers where the information is being processed. This could be at the department or in the administration.

CS code = Classification structure code

Process /CS code	Document type	Retain/dispose	Registration/sorting order	Medium	Storage	Comments
5.1	Planning and administrating research project					
5.1	Research plan/project plan	Retain	Systematically arranged	Paper/digital	Department	Can be included in the application for grants.
5.1	Description of method and methodological guidance	Retain	Systematically arranged	Paper/digital	Department	Can be included in the application for grants.
5.1	Data management plan	Retain	Systematically arranged	Paper/digital	Department	Can be included in the application for grants. A data management plan describes what is to happen with data during and after the research project.
5.1	Grant applications	Retain	Register in registry	Paper/digital	Department	Also applicable to requisitions.
5.1	Decision on allocation of funding	Retain	Register in registry	Paper/digital	Department	Also applicable to decisions on instalments.
5.1	Letters of intent or comfort	Retain	Register in registry	Paper/digital	Department/Administration	For instance, letter of intent, memorandum of understanding, letter of comfort from the Vice-Chancellor.

Process /CS code	Document type	Retain/dispose	Registration/sorting order	Medium	Storage	Comments
5.1	Certificates	Retain	Register in registry	Paper/digital	Department	For instance, head of department certificates, research certificates, audit certificate, certificates of professional competence, number of potential participants, host department certificates, etc.
5.1	Agreements and contracts	Retain	Register in registry	Paper/digital	Department/Administration	Some agreements should be registered in the registry both in the university's Registry and Archives and at the department/ equivalent. For instance, agreements or contracts with other funding bodies, other authorities, project partners, publishers or participants; consortium agreements, membership agreements, public procurement contracts, biobank agreements, agreements for the transfer of biobank samples, personal data processing agreements, patent license agreements, non-disclosure agreements, acceptance of terms and conditions for participation in EU-funded projects, agreements with the Swedish Association of the Pharmaceutical Industry (Läkemedelsindustriföreningen, LIF), institution-wide agreements, for instance with the EU Commission on framework programmes, model contracts, etc.
5.1	Progress/interim reports	Retain	Register in registry	Paper/digital	Department	For instance, financial reports and research reports to funding bodies or sponsors.
5.1	Final reports	Retain	Register in registry	Paper/digital	Department	For instance, financial reports and research reports to funding bodies or sponsors.

Process /CS code	Document type	Retain/ dispose	Registration/ sorting order	Medium	Storage	Comments
5.1	Minutes of meetings (regarding governing and planning of research or research projects)	Retain	Systematically arranged	Paper/ digital	Department	For instance, minutes of meetings from steering committees, reference groups, research groups, project budget committee, etc.
5.1	Application for permit for research, see examples under Comments	Retain	Register in registry	Paper/ digital	Department	For instance, permits, approvals or authorisations from an ethical review board, data protection authorities; environmental impact assessments, or clinical trials of medical devices or therapies with study drugs, etc.
5.1	Decisions on permit for research	Retain	Register in registry	Paper/ digital	Department	
5.1	Registration of personal data processing	Retain	Register with the data protection officer	Digital	Data protection officer	Concerns registrations of automated or semi-automated processing of personal data. Included in the data protection officer's registry. Registration is stored digitally in the system Portal Bas until further notice.
5.1	Amendments or additions to registrations of personal data processing	Retain	Register with the data protection officer	Digital	Data protection officer	Included in the data protection officer's registry. The information is stored digitally in the system Portal Bas until further notice.

Process /CS code	Document type	Retain/dispose	Registration/sorting order	Medium	Storage	Comments
5.1	Delisting personal data processing	Retain	Register with the data protection officer	Digital	Data protection officer	<p>Report of when processing of personal data ceases, which should coincide with the purpose of the processing having been met. Archiving and period of disposal of data are not included in the report of time for when personal data processing ceases.</p> <p>An estimated time for ceasing with personal data processing must be included in the registration of personal data processing.</p> <p>Included in the data protection officer's registry.</p> <p>Delistings are stored digitally in the system Portal Bas until further notice.</p>
5.1	Consent to personal data processing	Retain/dispose	Systematically arranged	Paper/digital	Department	<p>For instance, explicit consent, informed consent, etc.</p> <p>If all identifiable primary data and code keys have been disposed of, consents can also be disposed of. (RA-FS 1999:1, amended 2002:1)</p>
5.1	Requests for correction, blocking, limitation or deletion of personal data	Retain/dispose	Systematically arranged	Paper/digital	Department	<p>For instance, revoking a consent, cancelling participation or request correction or deletion of personal data.</p> <p>If all identifiable primary data and code keys have been disposed of, this type of document can also be disposed of. (RA-FS 1999:1, amended 2002:1)</p>

Process /CS code	Document type	Retain/dispose	Registration/sorting order	Medium	Storage	Comments
5.1	Research/project log	Retain	Systematically arranged	Paper/digital	Department	Documentation of important correspondence, funding, milestones, accomplished interim objectives, decisions, meetings, etc. including the time of these events.
5.1	Important correspondence	Retain	Register in registry	Paper/digital	Department	Concerns correspondence that adds factual information to a case and/or forms basis for decision or agreement. For instance, correspondence with funding bodies, contractual partners, public authorities, the general public, auditors, research centres, research bodies, project members, research subjects, other research groups, publishers, etc.
5.1	Routine correspondence	Disposed of when obsolete	Systematically arranged	Paper/digital	Department	Correspondence of insignificant or temporary importance. (RA-FS 2012:2)
5.1	Decision to dispose of primary data	Retain	Register in registry	Paper/digital	Department	Written decision by head of department with motivation according to the criteria in RA-FS 1999:1. (A template is available)
5.1	Register of publications per department	Retain	DiVA	Paper/digital	Department	Register of publications are stored digitally in the system DiVA until further notice.
5.1	Register of publications per project	Retain	Systematically arranged	Paper/digital	Department	Register of publications within the project and published research data.

5.2	Implementation of research project					
5.2	<p>Primary data/analytical data</p> <p>For instance, categories of raw data: Experimental data, observational data, simulation data, derived or compiled data, reference or canonical data</p> <p>Examples of primary data:</p> <ul style="list-style-type: none"> - Surveys - Information compilations - Audio or video recordings, or photos - Interviews - Maps, drawings and blueprints - X-ray pictures - Measurements and test results - Medical journal excerpts - Reports on side effects - Effect reports - Register/register excerpts/databases - Minutes/study protocols - Method/statistical methods - Analyses/analysis files/analysis results - Datasets - Analysis log books - Codebooks - Lab notebooks - Primary data order and structure, for instance folder structure. 	<p>Retain/ dispose</p> <p>Disposal no sooner than 10, 15 or 17 years after last publication related to the material.</p> <p>Disposal requires written approval by the head of department with a motivation according to the criteria in the RA-FS 1999:1.</p> <p>Disposal period depends on field and the form of funding.</p>	Systematically arranged	Paper/ digital	Department	<p>Concerns primary data created, gathered or passed on to the authority.</p> <p>The primary data must also be retained if it is particularly extensive and unique or can only be recreated with difficulty.</p> <p>Primary data must be retained if it consists of register and databases with particularly high coverage ratio and controllability, or is considered to be of importance in the history of science, cultural history or personal history, valuable to other research domains, or of substantial public interest.</p> <p>(RA-FS 1999:1, amended 2002:1)</p>

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5.3	Making research projects accessible					
5.3	Research publications	Retain	DiVA	Paper/digital Since 2004 digitally in DiVA.		<p>For instance articles, research reports, investigations, evaluations, reprints, working papers, calls for papers, journals, series of articles, educational reports, tradeshow catalogues, exhibition contributions, reviews and debates in newspapers and popular science magazines, monographs, anthologies, new versions of previously published material, contributions in media, etc.</p> <p>According to existing legal framework, all research publications from 1 January 2004 must be deposited in DiVA. (Ref. No. UmU 220-2745-06, amended in 2017 through FS 1.1-911-17.)</p> <p>If parallel publications are not allowed, the publication must be deposited with a protected archival status in DiVA.</p> <p>If external researchers' publications are published at Umeå University, they must be deposited in DiVA.</p> <p>Publications are carried out in accordance with Umeå University's Open Access Policy. (Ref. No. FS 1.1-911-17)</p> <p>Research publications are stored digitally in the system DiVA until further notice.</p>

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5.3	Results from artistic research and development work	Retain	DiVA/Spec.	Paper/digital/physical object		<p>Documentation on and results of: productions, artistic research, performance, creation, progress, representations, transfer of knowledge or development activities.</p> <p>Published in DiVA according to the guidelines for such documents.</p> <p>Results are stored, when applicable, digitally in the system DiVA until further notice.</p>
5.3	Press releases	Retain	Systematically arranged	Paper/digital		