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DIRECTIONS – RETENTION AND DELETION PLAN – CONDUCTING RESEARCH

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[1] This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.

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1.   Description

These directions describe how Umeå University manages official documents received in its role as a public authority or produced as part of Umeå University's operations, based on an established classification structure.

2.   Background

According to the Swedish National Archives, all public authorities are to document how the authority applies the current regulations of the Swedish National Archives in the form of authority-specific retention and deletion plans. A retention and deletion plan describes management of the authority's official documents.

The purpose of a retention and deletion plan is to guide and structure the authority's archiving procedures. The plan is intended for everyone at the authority who manages official documents.

The Registry and Archives is responsible for drawing up policy documents for document management and for ensuring that everyone who manages official documents knows about and has access to applicable and relevant policy documents.

The following retention and deletion plan replaces previous plans.

There is no difference in management of digital and analogue documents in terms of retention and deletion. The same rules apply, but there are different retention solutions in the form of digital locations, where the information is retained or saved until further notice. This policy document applies to both analogue and digital documents. Emails are an access channel to the authority. If an email includes official documents, the email is to be managed in accordance with the process to which the information belongs.

3.   Concepts

Term	Explanation
Process/CS code	Code that indicates the process based on the classification structure.
Document type	Documents produced by a repeated activity in a process. Each department, faculty or unit can work in different ways in the same process. As such, different departments, faculties and units can use different document types.
Retain/dispose of	Retain means the information is to be saved indefinitely. Documents for retention are to be managed so that they can be searched for and read indefinitely.
	Dispose of means the information is to be destroyed or erased after a specific amount of time as defined by the regulations of the

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Swedish National Archives. If a document is not assigned a retention period, it may not be disposed of.

The document is to be retained until it is to be dispose of. Archiving can be in digital or analogue form. During the period the document is to be retained, it must be managed in a way that ensures it does not disappear or is destroyed before the end of the retention period.

Information or documents that are not official documents, such as drafts, may be disposed of without first requiring a disposal decision.

Disposed of when no longer needed by the organisation	When the document is no longer needed by the organisation, it can be disposed of (destroyed or erased). The organisation decides when the document is no longer needed.
Registration/sorting order	Specifies if the document is to be managed in a document management system, registered or systematically organised.
	Registration means the document is registered in a digital document management system (W3D3) or a document registry, or in both.
	Information not registered is to be systematically organised. Sorting documents based on personal identity number, project name or alphabetically are examples of systematic organisation. Meeting minutes are a document type that is often sorted systematically, such as chronologically, with the oldest minutes first, followed by more recent minutes. Sorting systematically is also applicable to digital documents. For example, files can be marked with the name of the organisational entity and date.
Retention format	Describes what format to archive the document type. Paper is to adhere to the ISO 9706 standard for permanence. For digital retention, the format to use is based on regulations from the Swedish National Archives, RA-FS 2009:2. The empty fields in the table are documents that are to be disposed of and where the format does not need to be of archival quality.
Responsibility for archival administration	The organisational entity at Umeå University that is responsible for retaining and administering the document.
	University Administration: the University Management and faculties.
	Department: departments and units at Umeå University that have responsibility for their archives; this includes Umeå University Library.
	As a rule, documents are to be retained and administered where they have arisen. Some documents are administered in multiple places.
Comments	Additional information about the document. This is information about disposal regulations or if the document is likely to be partially or wholly covered by confidentiality.

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4. Retention and deletion plan

Documents of a temporary or minor nature

Official documents that match the definitions above and are not included in the following table can be disposed of when they are no longer needed by the organisation, in accordance with RA-FS 2021:6, RA-FS 2021:8 and RA-FS 2022:1.

Examples of documents of a temporary and minor nature:

- Received or dispatched reports, enquiries and communications of a temporary or routine nature, and documents that do not concern the authority's area of activity or which are meaningless or incomprehensible and do not result in any action.

- Copies and duplicates not covered in the main retention and deletion plan.

- Documents that have been received for information and have not led to any action, if they are also of a minor nature.

- Registries, ledgers, lists and other temporary aids created to facilitate the work of the authority that are irrelevant in documenting the activities of the authority, repeated searches for documents or maintaining links within the archive.

- Proof of receipt and notification, provided that no notes have been added to the document that have supplemented information to the case or the matter.

- Documents used for internal planning and reporting within the University when reporting or other processing, provided that the documents do not otherwise have any other function.

Examples of documents that have lost significance after transfer to new storage media

- Documents that have been received by the authority or dispatched by the authority in electronic form, if the documents have been transferred to another format or other storage media. A prerequisite for disposal is that the transfer has only resulted in insignificant losses. For the loss to be considered insignificant, documents may not be authenticated by electronic signatures or equivalent. Nor may they be structured in such a way that significant processing opportunities are lost.

- Documents received by the authority in an unauthenticated form, such as fax or email, when an authenticated document containing the same content has been received at a later stage. A prerequisite is that no notes have been added to the document that are relevant to a decision by the authority or to the course of any proceedings. If the document that was received first has an arrival stamp, it must be retained until the task has been completed, unless the time of arrival has been otherwise documented, e.g., in a journal or easily accessible log list. If the matter concerns the exercise of official authority against an individual, the document must be retained until the period of appeal has expired.

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- Documents received by the authority in the form of a voicemail message, message left on an answering machine and equivalent and that have added information to a case, provided that the content has been documented in an official note that has been attached to the other documents in the case.

- Digital documents prepared solely for dissemination or disclosure.

- Digital documents that have been transferred to retainment systems but remain in the system of origin can be disposed of from the system of origin.

- Incorrect data in databases and systems resulting from typographical errors, numerical errors or similar omission errors, provided that corrections have been made.

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5.	Conducting research

5.1 Plan and administer research projects

Process/ CS code	Document type	Retain/dispose of	Registration/ sorting order	Retention format	Responsibility for archival administration	Comments
5.1	Grant applications	Retain	W3D3/ registered	PDF or paper	University Administration/ department	Also applies to requisitions and grants. If the application is submitted in a system outside of the authority's control, a copy of the application and its decision are to be exported from the system and retained here.
5.1	Pre-applications	Disposed of when no longer needed by the organisation	Systematically organised			RA-FS 2021:6, RA-FS 2021:8, RA-FS 2022:1
5.1	Decisions on funding	Retain	W3D3/ registered	PDF or paper	University Administration/ department	Also applies to decisions on partial payments.
5.1	Research plans/project plans	Retain	Systematically organised	PDF or paper	University Administration/ department	Can be included in the grant application and, in that case, registered with the grant application.

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5.1	Methodology and method instructions	Retain	Systematically organised	PDF or paper	University Administration/ department	Can be included in the grant application and, in that case, registered with the grant application.
5.1	Data management plans	Retain	Systematically organised	PDF or paper	University Administration/ department	Can be included in the grant application and, in that case, registered with the grant application.
5.1	Declarations of intent/letters of intent	Retain	W3D3/ registered	PDF or paper	University Administration/ department	For instance, letters of intent, memorandums of understanding, letters of support from the Vice-Chancellor.
5.1	Certificates	Retain	W3D3/ registered	PDF or paper	University Administration/ department	For instance, certificates from the head of department, audit certificates, certificates of competency.
5.1	Agreements/contracts	Retain	W3D3/ registered	PDF or paper	University Administration/ department	For instance, agreements with funding bodies/funding agreements, agreements with other public authorities, agreements with project partners, consortia agreements, agreements with publicists, membership agreements, agreements for participants, procurement agreements, biobank agreements, agreements for

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						transferring biobank samples, data processing agreements, patent agreements, non-disclosure agreements, approval of terms for participating in EU-funded projects, LIF agreements, university-wide agreements, such as with the EU Commission for framework programmes, modelling contracts etc. Certain agreements should be registered both in the university-wide records and at the department or equivalent.
5.1	Interim reports	Retain	W3D3/ registered	PDF or paper	Department	For instance, financial reports and research reports for funding bodies or sponsors.
5.1	Final reports	Retain	W3D3/ registered	PDF or paper	Department	For instance, financial reports and research reports for funding bodies or sponsors.
5.1	Minutes/meeting notes (on governance and planning of research or research projects)	Retain	Systematically organised	PDF or paper	Department	For instance, minutes and notes from steering committees, reference groups, research teams, project budget committees, etc.

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5.1	Applications for research permits	Retain	W3D3/ registered	PDF or paper	Department	For instance, ethical reviews, permits for conducting animal experiments, permits from the Swedish Chemicals Agency, the Swedish Radiation Safety Authority or similar. If the application is submitted in a system outside of the authority's control, a copy of the application and its decision is to be exported from the system and retained here.
5.1	Decisions on research permits	Retain	W3D3/ registered	PDF or paper	University Administration/ department	For instance, ethical reviews, permits for conducting animal experiments, permits from the Swedish Chemicals Agency, the Swedish Radiation Safety Authority or similar. If the application is submitted in a system outside of the authority's control, a copy is to be exported from that system and retained here.

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5.1	Appeals of decisions on research permits	Retain	W3D3/ registered	PDF or paper	Department	For instance, ethical reviews, permits for conducting animal experiments, permits from the Swedish Chemicals Agency, the Swedish Radiation Safety Authority or similar.
5.1	Consents in accordance with the Ethical Review Act	Retain	Systematically organised	PDF/ paper/ XML	Department	For instance, informed expressed consents, informed consents, etc.
5.1	Requested withdrawals of consent in accordance with the Ethical Review Act	Retain	Registered, systematically organised	PDF or paper	Department	
5.1	Research logs /project logs	Retain	Systematically organised	PDF or paper	Department	Documentation on and the time of important correspondence, funding, milestones, achieved interim objectives, decisions, meetings, etc.
5.1	Correspondence of significance	Retain	Registered	PDF or paper	Department	Applies to correspondence that adds factual information to cases and/or is the basis for decisions or agreements, such as correspondence with funding bodies, partners, public authorities, the public, accountants,

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						research centres, research bodies, project staff, research subjects, other research groups, publicists.
5.1	Routine correspondence	Disposed of when no longer needed by the organisation	Systematically organised	PDF or paper	Department	Correspondence of a minor or temporary nature. RA-FS 2021:6, RA-FS 2021:8, RA-FS 2022:1
5.1	Decision to dispose of data from primary material	Retain	W3D3/ registered	PDF or paper	Department	Written decisions by a head of department with explanation of the reason, in accordance with the criteria in RA-FS 1999:1. (A template is available.)
5.1	Publication lists for departments	Retain	DiVA	PDF or paper	Department	Publication lists are retained indefinitely in digital form in the DiVA system.
5.1	Publication lists for projects	Retain	Systematically organised	PDF or paper	Department	Lists of the project's publications and published research data.
5.2 Implementing research projects						
5.2	Raw data/primary data/secondary data	Retain/dispose of See comments	Systematically organised	See comments	Department	See below.

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Raw data:

Basic data that has not yet been processed, such as readings straight from measurement instruments, observations, interview recordings or unprocessed survey responses.

Primary data:

Primary data is data collected in a study using different types of collection methods. Primary data did not exist before the study was conducted. Primary data can also arise as the result of research processes, such as software code.

Secondary data:

Secondary data is data that has already been collected in previous studies, such as data provided by another accountable authority or that belongs to another research project, statistics provided by another public authority or patient data with another accountable authority.

May be disposed of when the information is no longer needed under the assumption that the accountable authority, selection, and methodology for producing the data are documented so that the data can be recreated when needed. If these criteria are not met, the secondary data should be managed as primary data.

Retain/dispose of:

Research data can be disposed of unless it is judged to have continued value within the research domain or other research domain, has significant value from a scientific, cultural or personal history perspective, or is of significant public interest.

Depending on the research field and funding body, disposal can occur at the earliest after 17 years if a project has received EU funding, 15 years for pharmaceutical research and 10 years for other research after the final publication linked to the data. All

financial accounting must have been completed. According to EU regulation 536/2014, Article 58, all clinical trials ongoing from 31 January 2025 are handled as follows. The document type sample master files from clinical trials are to be archived for at least 25 years. After this period of retention, all or parts of the research data can be disposed of.

Disposal of research data requires a written decision by the head of department with an explanation, in accordance with the criteria in RA-FS 1999:1 (amended 2002:1), and is to be registered.

Format:

Research data collected in common formats are to be stored/retained in one of the formats approved by the Swedish National Archives, as specified in RA-FS 2009:2. Research data that use an unusual format, such as x-ray images, are to be retained in their original format.

Registration:

In accordance with Chapter 5, Section 1 of the Public Access to Information and Secrecy Act (OSL), all data that includes confidential information is to be registered. This means that confidential data must be registered with a unique number and a creation date or the date when it was received by the authority. If a data management system is used, it is possible for this to serve as this type of registry if it meets the requirements of OSL 5:2. In that case, it should also be possible for the system to present this information in the form of a registry. If a data management system is not used, a separate registry should be created with date, description and unique number for each data set in, for example, an Excel file. See the Registry and archives pages on the staff website for information on archiving research material in this type of file.

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5.2	Code keys	Retain/dispose of See comments	Systematically organised	See Research data	Department	May be subject to confidentiality rules. Codes that identify pseudonymised individuals within a research project. Is part of the research data but is to be retained separately from the research data. Retain/dispose of The code key is to be retained as long as the pseudonymised data is retained. The code key is to be retained in longitudinal studies. RA-FS 1999:1, amended 2002:1.
5.2	Recoding keys	Disposed of when no longer needed by the organisation	Systematically organised		Department	Recoding keys are used to anonymise pseudonymised data. If pseudonymised data are to be shared, the personal data are recoded an additional time and then the recoding key for the shared material is deleted. The pseudonymised data with associated code key are to be retained at the

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						University in accordance with applicable rules, see Research data. RA-FS 2021:6, RA-FS 2021:8, RA-FS 2022:1
5.2	Transcriptions	Retain/dispose of See comments	Systematically organised	See Research data	Department	Original recordings may be disposed of if the transcriptions maintain the same quality as the original recordings. RA-FS 2021:6, RA-FS 2021:8, RA-FS 2022:1. Registration: if the original documents are disposed of, the transcription should be given the same unique number as the original documents in the registry.

5.3 Making research projects accessible

5.3	Research publications	Retain	DiVA	Paper/PDF Since 2004 digitally in DiVA.	Department/ Umeå University Library	See below.

For instance, articles, research reports, investigative reports, evaluations, reprints, working papers, contributions to conferences, journals, article series, educational reports, fair or exhibition catalogues/contributions, reviews and opinion pieces in daily newspapers and popular science magazines, monographs, anthologies, new versions of previously published material, appearances in mass media, etc.

In accordance with the public authority's legal framework, all academic publications from 1 January 2004 are to be marked with status "Only archiving" in DiVA (reg. no: UmU 220- 2745-06, amended in 2017, FS 1.1-911-17). If parallel publishing is not permitted, the publication is to

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be archived with locked archive status in DiVA. If publications by external researchers are published by Umeå University, these are to be archived in DiVA. Research publications are retained indefinitely in digital form in the DiVA system.						
5.3	Results from artistic research and development work	Retain	DiVA	Paper/digital /physical objects	Department/ Umeå University Library	Documentation on and the results of: productions, artistic research, performative productions, creative works, development work, design work, knowledge development or development work. Publish in DiVA in accordance with the regulations for the above document types. Results are retained, when appropriate, indefinitely in digital form in the DiVA system.
5.3	Press releases	Retain	Systematically organised	PDF or paper	University Administration /department	