



UPPSALA
UNIVERSITET

**DOCUMENT MANAGEMENT PLAN –
RESEARCH DOCUMENTATION**

2023-01-09 Dnr UFV 2021/1433

Document management plan

Research documentation

Instructions for document management

Uppsala University is a Swedish authority, which means that the University's activities is regulated by Swedish law. This document is created to facilitate the maintaining of research documents.

Research documents

Research Projects that are held at the university shall be seen as a part of the universities function. Research projects at Swedish authorities is affected by the principle of openness (Regeringskansliet, u.d.), despite how the project is founded.

Public document

In Sweden all citizens have a right to have an insight at all authorities, according to the Freedom of the Press regulation (Tryckfrihetsförordning (1949:105)), this law also effects universities research projects, as well as the administrative parts. This means that documents that are created in association to research at the university is subjected by this law. Therefore, there is also a requirement of preservation of some of the research documentation. Furthermore, a plan for archiving and thinning of the research documents should be made in the beginning of the project.

Preservation and thinning

According to the Archive act (Arkivlag (1990:782)), all public documents should be registered, reported and archived. The material is a part of the institutions archive. The Prefect are responsible for overseeing that documents get archived and that thinning is implemented. The research manager must ensure that documents created during the process are kept in an order which reflects the projects process. Documents shall not be fragmented and no documents may be removed from the university.

Registration of documents shall be made in W3D3.

Some documents shall be thinned, destroyed, after a certain time period and some shall be preserved for all time. Documents that can be thinned shall be destroyed when the time period is up. Exception from thinning should always be made if; the documents contain information about porpoise, method or results in the project in question. Additional to this, as a sum the following exceptions applies from thinning;

- Continued interdisciplinary value
- Value for another research area
- Cultural-historic value
- Personal historical value or,
- Public interest

For documents that are being thinned, the thinning timeline is 10 years and applies from the time the final financial reports and publications has been done. However EU-financed projects have documents that need to be preserved for 17 years.

Document management plan

Preserve

Preservation means that the information must be preserved forever, i.e. that it must be archived.

Deposing and clearance of records

For records that shall be deposed have a respite on 10 years. The time starts when economic reports and publications are done.¹ Exception from:

- Revision document from EU-financed projects, can be deposed earliest 5 years after the end payment. During ongoing revision, dispute or inquiry shall these documents be preserved for longer.²
- Pharmaceutical trials can be deposed after 25 years, after the trial is done.³

Clearance is meant for records that isn't public, and therefore are not a deposing arrangement although the result is the same, which is destruction.

- Clearance when out of date, shall be done after one year.

Registration

Registration of records shall be done in W3D3.

Document	Description	Measure	Comment
Application for grants		Preserve	Registrer
Decision about approved grants and agreements		Preserve	Registrer
Data management plan		Preserve	Registrer
Project description/Project plan	Description of the background to the choice of project form with purpose, goals and questions and how the project is to be carried out, as well as how the results are to be reported/presented.	Preserve	Registrer

¹ Riksarkivet, RA-FS 1991:1

² UFV 2021/2912, Information om gallring av revisionshandlingar för EU finansierade forskningsprojekt

³ Läkemedelsverket hemsida, Start> Tillstånd, godkännande och kontroll> Klinisk prövning> Läkemedel för människor> Klinisk prövning och GCP

Cost estimate		Preserve	Registrar
Correspondence with financiers		Preserve	Registrar
Permission to conduct research	Application, decision or statements from e.g. ethics committees, the data inspectorate, etc.	Preserve	Registrar
Project diary (project books)		Preserve	
Statement of transferred confidentiality	Data on transferred confidentiality between authorities	Preserve	Registrar
Minutes/documentation from steering and reference group meetings		Preserve	Registrar
Financial accounting reports		Preserve	Registrar
Short reporting/documentation	Ex. logbook, diary, lab report	Preserve	Registrar
Details of license for use of research data and program code		Preserve	
Application for patent		Not a part of the University Archives	
Research data/research material	Raw, primary, secondary, confidential data, basic data, confidential data from another principal, data set/data set and processing of data.	Weed out, <i>can be done after 10 years</i>	
Patient records		Not a part of the University Archives	
Meta data		Preserve	
Work document/processing material		Cleared when out of date	

Method description	Description of how research data is collected, processed, tested, analyzed, etc.	Preserve	
Advance registration	Pre-registration that forces the researcher to commit to certain hypotheses and methods of analysis before the actual data collection begins.	Preserve	
Codes, Code description, concepts and explanation of concepts	Codes created in connection with data processing.	Weed out, <i>can be done after 10 years</i>	
Documentation of program code		Weed out, <i>can be done after 10 years</i>	
Code key	Code that identifies persons who are pseudonymised	Weed out, <i>can be done after 10 years</i>	
Information on personal data processing		Preserve	
Documented consents for personal data processing		Cleared when out of date	
Conference contributions		Preserve	
Posts. Social Media		Preserve	
Press releases		Preserve	
Articles		Preserve	
Thesis/Dissertation		Preserve	
Non-written presentation of scientific results	Ex. documentation of seminars, conferences or various events.	Preserve	
Interim report		Preserve	

Final report		Preserve	
Popular science publications		Preserve	
Lists of objects, photos or the like		Preserve	

For questions, contact registrator@uu.se