



HÖGSKOLAN
DALARNA

Höskolan Dalarna's guidelines for documentation and archiving of research material

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Terminology

a) What is meant by “research activity”, “research project” and “research material”?

Research activity is comprised of all basic research, applied research, commissioned research and development work carried out at Högskolan Dalarna, regardless of how it is funded. In other words, this concerns all research carried out by personnel employed by Högskolan Dalarna, whether it is carried out by doctoral students, research scientists, lecturers, research fellows or professors. Student work at the basic and advanced levels is not included.

In this context *Research project* means “a research project limited in time and scope, often connected to a particular commission and/or particular persons”. (RA-FS 1999:1)

Research material is contained in reports which come from university and government research activities, as well as research projects and in ongoing research activities, regardless of how the financing for the research is obtained.

b) What is meant by “documenting”, “archiving” and “entering in an official register”?

Documenting means that those who are conducting the research collect research material.

Archiving means that the documented research material is moved from the office to the university’s archive (or to another place approved by the Head of School) as well as that the material is organised and registered.

Entering in an official register means that a document is submitted to the university’s filing clerk, who registers it in a journal.

c) What is meant by storage, deletion, and disposal?

Storage means that the material is saved forever. It cannot be disposed of or destroyed under any circumstances.

Deletion means that previously archived material is destroyed according to set rules and procedures. Sensitive material should be destroyed with a paper shredder followed by incineration, carried out by the university’s archivist.

Disposal means that the material is removed and disposed of. This includes drafts, revisions, notes or data of a private nature.

Applicable Laws and Regulations

a) The Swedish Code of Statutes (Svensk Författningssamling - SFS)

[The Freedom of the Press Act \(Tryckfrihetsförordningen SFS 1949:105\)](#)

The Public Records Act ([Arkivlagen SFS 1990:782](#))

The Archives Ordinance ([Arkivförordningen SFS 1991:446](#))

[The Secrecy Act \(Sekretesslagen SFS 1980:100\)](#)

[The Higher Education Act \(Högskolelagen SFS 1992:1434\)](#)

[The 1986 Administrative Procedure Act \(Förvaltningslagen SFS 1986:223\)](#)

[The Swedish Copyright Legislation \(Lag om upphovsrätt till litterära och konstnärliga verk SFS 1960:729\)](#)

b) The National Archives of Sweden

For information on the National Archives in English, visit:

<http://www.statensarkiv.se/default.aspx?id=2138>

To search in the National Archives, visit:

<http://www.statensarkiv.se/default.aspx?id=6489&refid=1189>

1. Introduction

The Swedish Public Records Law states that the public archives are a part of Sweden's national cultural heritage and that they should reflect the activities that take place in society. The public archives should be protected, kept in good order and cared for so that they provide for the right to take part in public activities and the necessary information for justice and public administration as well as research. For these reasons, research material should be stored. Furthermore, it is also of importance that research material be stored in order for society to be able to assess the information on which studies and reports are based, for planning and reforms, for citizens' view of research, and for reuse of research material in new studies.

Research activities must therefore be documented and archived in a particular way so that it is possible for an independent examiner to clearly follow the entire research process and ensure that the conclusions drawn actually follow from the data. Documentation and archiving must also be done in such a way that other researchers can use the data as a starting point for new scientific studies¹.

For these reasons, all research activity that takes place at Högskolan Dalarna should be documented and archived according to the instructions below.

2. What should be documented and archived?

Included in the research material to be documented and archived are: a) project plans; b) applications, decisions and permits; c) primary material; d) preliminary reports and final reports for each study. Documents should be readable, unambiguous, and dated and signed by the researcher responsible. Below is a more detailed description. For further clarification, see Appendix 1.

a) Project Plan

The project plan should contain information about the project's title and background, the reason for the research, the goal and the planning, and which materials and methods the researcher intends to use. If the researcher deviates from the original plan, corresponding information about the changes should be kept (for example, taking notes in which the changes are documented). It should be clear who is responsible for the project, when and where it took place, who collaborated on the project and what their tasks were. If the project involves studies on people, the written information given to those asked to take part (that is, the research subjects) and any consent forms should be stored.

¹ According to the rules concerning copyright and access rights to research material, and with observance of the relevant secrecy regulations, as well as the condition that possible ethics tests take place and that other authorization is obtained.

If the project in question is included in a larger research programme, information on the larger programme should be stored as well. Likewise, material which is background information for a decision, such as minutes or notes from a steering committee or reference group meeting should be stored.

b) Applications, decisions, and permission

Applications to both internal and external funders are to be entered in the record and stored. Rejections and decisions about grant allocation as well as any accompanying contracts and agreements should be entered in the record and stored. Correspondence with funders and/or clients which provide background information for decisions should be stored.

If the project involves research on people or animals requiring permission/approval from the ethical testing board or another entity (that issues permits according to law), the application to the board/entity and their verdict must be stored. The Personal Data Act also requires the preservation of the application.

c) Primary Material

The primary material studied, how the analysis proceeded, the methods used, what, if any, loss has occurred and how it happened should also be documented and archived. More concretely, the following material is to be documented and archived:

- all primary material regardless of medium used, for example: paper, electronic, magnetic or optical media, cassette tape, videotape, x-rays from medical clinics, printouts from a laboratory apparatus, substance tests, and photos
- all material that describes or indicates methods such as measuring methods or statistical methods
- all material that describes how research was carried out and/or its result
- all material that describes factors affecting the research and the measures taken with regard to them

If corrections are made to the primary material, they must be done in such a way that the original material is not concealed. Changes are to be dated and signed. If the reason for the change is not apparent, it must be noted. Missing information is also to be noted or marked in an appropriate way so that it is clear what is missing.

All the data collected should be present so that it will be possible later to understand on what grounds the data selection was made. So-called “negative results”, that is, data that contradicts the hypothesis being tested, should be present as well. Such data can be very useful for testing new research paths. An explanation of negative results also reduces the risk of researchers repeating others’ mistakes.

The requirements listed above include all the results and documents that alone or together are necessary for judging the quality of the data and how the research has been carried out. This is the case regardless of whether the result is published or used in another way.

d) Preliminary reports and final report

Preliminary reports, final reports and/or scientific publications, as well as final financial reports are to be entered in the record and stored.

3. When does archiving take place?

When a research project is finished, that is, when the research project is prepared and its result presented, the material is to be turned in for archiving with the “Description of research project and research material” form (see Appendix 2). Up to this point the entire process is to be documented according to the guidelines in this document.

4. Who is responsible for documentation and archiving?

Each Head of Schools appoints an archivist who is responsible for ensuring that the School’s research material is documented and archived. This responsibility includes ensuring that:

- research material is documented, archived and disposed of according to the guidelines of the National Archives and Högskolan Dalarna
- the School has appropriate archiving facilities (or filing cabinets with an appropriate level of security) in which research material can be stored in a secure way so that it is protected from damage and inaccessible to unauthorized persons. It may be necessary to take extra protection measures for sensitive material
- there is a register of who has access to the documented and archived material and where the documentation and archiving took place
- personnel, particularly newly-hired personnel, are informed about the university’s guidelines
- digital material is stored with consideration for back-up processes and other measures which ensure digital preservation over time (for example, digital documents in notebook computers)

The research leader or project leader (who may be a doctoral student) is the person who performs the documentation and archiving of research material in practice. This responsibility includes the following tasks:

- document the research process
- protect the material from damage or unauthorised access and store it in the appropriate archive
- ensure that the material is turned in for archiving when the research project has finished
- organize the research material in such a way that it is easy to identify what should be stored and what should be deleted
- indicate what should be stored/deleted
- ensure that the material is deleted when the required storage period has ended
- ensure that there is a register of who has access to the documented and archived material and where the documentation and archiving took place
- store copies of the archived data from the project
- take archiving requirements into consideration during the planning stage of the research project so that archiving costs are taken into account in the project application

If the person responsible for the project leaves Högskolan Dalarna, the individual and the Head of School are to reach an agreement regarding access to the documented and archived material. Under no conditions should the material be moved without informing the Head of School and getting approval from the National Archives.

5. How should the research material be archived?

To make it easier to search the research material it should be archived by project. This means that the project material should be kept together and archived in an organized way.

When the research project begins it is appropriate to plan for how the material that arises from the project will be accounted for. The “Description of the research project and research material” form, which is to be completed when the project is finished and the material is to be archived, is useful in assisting in this task. With the help of this form, one can show the overall tasks of the project and add any new material produced on an ongoing basis. One should also keep a “project journal” where correspondence, decisions, and important steps are noted while the project is ongoing.

It is not necessary to show administrative tasks in the project archive if they are registered in another way (for example in the journal or financial records). So that searches in the archive can be as complete as possible, they should be cross-referenced in another system or register.

6. How long should research material be stored?

Some types of research material are to be permanently stored. Others are to be stored for at least 10 years after the project is completed and then it is to be deleted, that is, destroyed. See appendix 1: “Preservation and deletion plan for research material at Högskolan Dalarna”.

7. Which research material should be deleted?

The “National Archives’ regulations and general recommendations on the deletion of documents in the state authorities’ research activities” (RA-FS 1999:1) gives several requirements and starting points which serve as guiding principles in the state authorities’ deletion of research material. The requirements, in short, are the following:

Material that has been included or created in the course of research activities can be deleted, with exceptions for:

- material which contains basic information on the goals, methods, and results in particular research projects (§ 6)
- material that shows the project’s plan with regard to financial regulations and external contacts, as well as any changes in the project’s direction while in progress should also be stored (§ 6)
- material that is judged to have a continued scientific value or value for another research area (§ 7)
- material that is judged to be of significant value in the history of science, culture, or humanity, or that is judged to be of significant general interest (§ 7)

Examples of documents given in § 7 are as follows, according to appendix 1B in RA:FS 1999:1:

- material that constitutes particularly extensive primary material, collected through tests, measurements, questionnaires, interviews, etc., which are unique and can only be recreated with great effort
- registers and databases containing data with especially high coverage and reliability

- material that illuminates a historical development in a scientific discipline
- material that illuminates the academic environment in a cultural-historical perspective
- material that illuminates a prominent person's activities
- material from research which received a great amount of attention in the public discourse, or which is expected to do so when the research result reaches wider distribution

Before deletion is carried out, an evaluation of the material must be made according to the above-mentioned criteria.

The decision about deletion is made by the Head of School following the presentation of a report by the research leader or project leader. The decision should be taken immediately after the research project has ended. The deletion decision should be in writing and contain information about how the decision was made, by whom, and for what reasons. The signed decision should be given to the university's archivist. The archivist and the research leader or project leader are to carry out any deletion as well as ensure that the deletion decision is archived.

For more detailed instructions on what should be stored and what should be deleted, see appendix 1: "Preservation and deletion plan for research material at Högskolan Dalarna".

The deletion decision is to be documented with the "Description of research project and research material" form (see appendix 2).

8. Is all research material public?

Material in a research project undertaken at a university or college falls under the laws governing state authorities. This means that research materials are public documents to which public principles apply and that every citizen has the right to access the material.

There are two exceptions to this general principle of the public nature of research material:

a) Memoranda, that is, working materials that have emerged from the ongoing research process and which constitute preliminary stages of a final elaborated reports are not public *as long as the material has not been dispatched or taken in for archiving*. This includes, for example, drafts, ideas, proofs to be checked, rough data and the like.

b) Material that falls under any provision in the Secrecy Act is also not public. According to this law, secrecy is allowed for information that can harm, individuals, patients, national security and common economic interests, among others. Information can, for example, be placed under secrecy to protect researchers if it can be shown that they or people connected to them could be in danger if the information becomes public. Among other things that can be placed under secrecy are trade secrets.

A decision to place something under secrecy can be appealed. Complete confidentiality or secrecy can, therefore, never be guaranteed to researchers. The only thing that can be guaranteed is that the information will be protected and that it would only be made public after a secrecy decision.

9. Who owns the research material?

Ownership of research material consists of two parts. The first are “physical property rights” and the second are “intellectual property rights”.

a) Physical property rights

Under normal circumstances, material that is part of a research project or is part of research work belongs to the educational institution – in this case, Högskolan Dalarna – and it is not the private property of the individual researcher or research group. In other words, the material is not owned by the individual researcher, either when the project is in progress or when it is finished.

Established and complete research material must therefore not be destroyed arbitrarily by a researcher or research group. Failing to observe the applicable deletion rules can therefore be grounds for official misconduct. The material must also not be moved to another jurisdiction without permission from the National Archives.

In other words, the Swedish state – in this case Högskolan Dalarna – is the owner of the research material, and the material in question comes under public law, archiving regulations and the regulations of the National Archives.

b) Intellectual property rights

The basic principle of intellectual property rights is that the researcher *owns the results* of her/his research. This applies to work that is written, drawn, and that of a technological nature. With regard to literary or descriptive works, the person who created and produced the work has sole rights according to the Copyright Law (SFS 1960:729). Sole rights in this context means control over the work with regard to copying, duplication, or distribution of the work.

10. More information

More information is available from the Högskolan Dalarna Research Ethics Board chairperson and the university's archivist.

Appendix 1. Plan for preservation and deletion of research material at Högskolan Dalarna

Research material is to be archived so that it is possible to return after the research is completed and test or repeat the research carried out. Some types of research material are to be permanently stored. Others are to be stored for at least 10 years after the project ends, that is, after the project has been published or made public in another way. Below are more details of the plan for preservation and deletion.

The documents in the plan are to be seen as examples of the type of documents that may emerge from a research project. Not all projects use all types of documents.

The “Plan for preservation and deletion of research material at Högskolan Dalarna” is presented with support from the “National Archives’ regulations and general recommendations on the deletion of documents in the state authorities’ research activities” (RA-FS 1999:1).

a) Administrative research material

The background information about the research project is to be permanently stored. Included in this administrative research material is the following:

Document type	Action to be taken	Comment
Project plans, project descriptions, research program	Store	
Grant applications	Store	Enter in the record
Decisions about funds/contracts granted	Store	Enter in the record (rejections included)
Permit applications for projects and the result of the applications (ethics board, data inspection, environmental testing authorities, etc.)	Store	
Methodological descriptions and directions	Store	Separate description of methods only if they are of a fundamental nature
Questionnaires	Store	
Minutes or other notes from governing board or expert panel meeting which illustrate the basis for decisions	Store	
Correspondence with funders/clients which illustrate the basis for decisions	Store	
Final financial reports	Store	Enter in the record
Project journal/diary	Store	

b) Primary Material

The primary material from the research process can usually be deleted ten years after the project is completed, provided that:

- research results have been demonstrated and published or made public in some other way, the last dissertation connected to the material has been defended, and the financial accounting has taken place
- the materials are not exempt from deletion because they are determined to have a continued value in the same or in another research area, significant value in the history of science, culture, or humanity, or judged to be of significant general interest (§ 7 in RA-FS 1999:1).

Document type	Action to be taken	Comment
Questionnaires	Delete	Delete after 10 years according to the conditions listed above
Sound or visual samples	Delete	-:-
Data files from computerized analysis instruments	Delete	-:-
Charts and drawings	Delete	-:-
Minutes from experiments/tests	Delete	-:-
Measurements and test samples	Delete	-:-
X-rays	Delete	-:-
Code lists	Delete	-:-
Journal excerpts	Delete	-:-
Laboratory journals	Delete	-:-
Other primary material	Delete	-:-
Blood, tissue, and organ samples	Storage regulated in another way	
Patient journals	Belong to another archive. Store according to other regulations	

c) Working Material

Working material (including memoranda), are in most cases not public documents, provided that the material has not been dispatched or taken in for archiving. This type of material can therefore be disposed of when it is outdated or when the project is completed.

Document type	Action to be taken	Comment
Outlines	Dispose of	
Drafts	Dispose of	
Documents to be rewritten	Dispose of	
Interim reports	Dispose of	If they are preliminary reports they are to be stored
Estimates, budgets	Dispose of	
Excerpts	Dispose of	
Data files which are not independent links in the ongoing data analysis	Dispose of	

d) Reporting Material

Reports of results are to be kept permanently.

Document type	Action to be taken	Comment
Preliminary reports	Store	Enter in the record
Articles	Store	
Conference reports	Store	This includes published conference reports of final results but not posters
Dissertations	Store	
Scientific final reports	Store	Enter in the record
Ongoing publication registers	Dispose of	
Print-ready manuscript	Dispose of	

Appendix 2. Description of the research project and research material

To be completed when the project is completed and the material is archived.

Information about the research project

Name of the project:
Person responsible for the project:
Other participants in the project:
School/subject:
Project start date:
Project end date:
Funding:
Description of the project (attach additional pages if necessary):
Keywords:
Publications, reports and other research results (attach additional pages if necessary):

.....
City and date

.....
Signature of person completing this form

Information on research material

The form is divided into different types of material (administrative, primary, working and reporting). For more detailed instructions on what should be stored and what should be deleted, see Appendix 1: “Preservation and deletion plan for research material at Högskolan Dalarna”.

Administrative Research Material

Project plans, grant applications, contracts, project descriptions, correspondence with funders/clients, financial and personnel documents:

Quantity (i.e. meter, gigabyte):

Format (i.e. paper, cassette, diskette, CD, DVD):

Storage location (i.e. university archive, another archive, office):

Head of School’s decision:

Store ☐

Delete ☐

Storage period; delete in 20.....

Primary Material

Questionnaires, interviews, notes from experiments, notes from tests, measurement and test results, x-rays, blood, tissue, and organ samples:

Quantity (i.e. meter, gigabyte):

Format (i.e. paper, cassette, diskette, CD, DVD):

Storage location (i.e. university archive, another archive, office):
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Usage rights and limits (secrecy):

Description of contents (for possible later use of material):

Head of School's decision:

Store ☐Delete ☐

Storage period; delete in 20.....

Working Material

Outlines, drafts, documents to be rewritten, interim reports, estimates/budgets, excerpts, data files which are not independent links in the ongoing data analysis:

Head of School's decision:Store ☐Delete ☐

Storage period; delete in 20.....

Reporting Material

Preliminary reports, final reports and articles:

Storage location (i.e. university archive, another archive, office):

Additional information (for example, the possibility of re-using the material in another experiment, relationship to other research material):

Head of School's decision:Store ☐Delete ☐

Storage period; delete in 20.....

.....
City and date

.....
Signature of person completing this form