

**Recommendation concerning the
application of regulations with
regard to the deletion/
destruction and preservation of
research information**

**Adopted by the Board of Directors of the Association of Swedish Higher
Education Institutions (SUHF) on 26 April 2022**

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Introduction

In spring 2019, the SUHF's expert group for archives and information management appointed a working group to draw up recommendations concerning the application of regulations regarding the deletion/destruction and preservation of research information on behalf of SUHF.

The project was initiated in response to the National Archives starting its work on drafting a new RA-FS (Swedish National Archives Regulations) on the deletion/destruction of documents in the research activities of state authorities. Higher education institutions realized there was a need for more detailed guidance on the often complex issues surrounding the preservation and deletion/destruction of research information than the National Archives was able to prescribe at constitutional level. This provided the basis for the expert group for archives and information - management in their work on the recommendation.

Throughout the project, input and comments have been received from the network for university and higher education archivists, SUHF's expert group on ethical issues, SUHF's working group on research data, and the legal network of the Swedish National Data Service (SND). The recommendation has also been circulated to all SUHF higher education institution members as well as to the Swedish National Archives, Swedish Research Council, and Swedish Ethical Review Authority.

The recommendation is based on the existing regulatory framework. The recommended management of research information is not the work of SUHF's expert group for archives and information management, but is an attempt to clarify the current regulations for a more uniform implementation at Swedish higher education institutions.

Research information means research data, research results, and other associated research records.

About the recommendation

The recommendation (see appendix) is intended to be used as a tool for services providing support for researchers in matters relating to good information management. The recommendation can also be considered as an extension and in depth view of parts of SUHF's national roadmap for open science (REK 2021:1) and its recommendations. For example, supporting higher education institutions' responsibilities "to ensure as far as possible that research data and research results meet the FAIR principles" and "to actively collaborate with other higher education institutions, infrastructures, and financiers in order to identify resource-efficient and cost-effective, joint national solutions relating to policy documents, frameworks, and infrastructural services".

However, the recommendation needs to be developed, interpreted and clarified at a local level and incorporated into the various policy documents at the higher education institution. The recommendation is intended to provide support to the higher education institutions in creating guidelines and procedures based on common ground, but with the opportunity to take into account the specific needs and circumstances of the local higher education institution and its areas of research. In the long term, a unified view regarding research information will facilitate the work towards an open scientific community, research collaborations, and for the mobility of the individual researcher.

This recommendation is set at a general level, while each research project is unique. The various support functions at the higher education institutions need to bridge the gap between a general recommendation and the researchers' specific needs for support. Likewise, in its capacity as a public

authority, the higher education institution must form its own opinion on different legal interpretations of the regulations, both on a general level and on individual cases.

Each higher education institution must draw up a strategy for preservation¹ that includes research information. The strategy should include the file formats recommended by the higher education institution taking into account the requirement that electronic records must be able to be continuously created, transferred, documented, managed, kept and protected ensuring they can be viewed repeatedly during the period in which they are retained². We have chosen not to include file formats in the recommendation due to the enormous number of different file formats used in research at higher education institutions. Thus, we believe that the choice of file format needs to be discussed and made on a case-by-case basis.

The recommendation is a first attempt at creating a uniform interpretation of the regulations concerning the preservation and deletion/destruction of research information at higher education institutions. The recommendation is not comprehensive when it comes to data management; however, with the support of the local infrastructure and competencies that higher education institutions can offer, it can contribute to creating the conditions for good management of research data.

Explanation of terms

In the Swedish version of this document, the terms *rensa* and *gallra* are used. Both concepts mean the same thing, i.e. a record is disposed of and destroyed so that it is not available to be viewed again. Legally, however, it is important to keep the concepts separate, as only documents used as a work tool can be disposed of without regulatory authorization. Public records, on the other hand, cannot be destroyed unless there is a documented decision to delete/destroy that permits it³. In this document, the working group has chosen the terms *culling/weeding* when referring to a work-tool document that may be destroyed and the terms *deletion/destruction* when referring to public record that may be destroyed.

The term *preserve* is used by the National Archives both for records that must be kept for a certain period of time before they can be deleted/destroyed and for records that must be preserved permanently and archived. In this recommendation, we use the term *keep* for such information that may be deleted/destroyed, after a certain retention period.

In cases where the word *must* is used in the recommendation, it refers to a stipulation set out in a current law, ordinance or regulation with which the higher education institutions are obliged to comply. In cases where the word *should* is used, it is a recommendation from SUHF.

Our view of research data

The working group chose to take an inclusive approach to defining research data, which resulted in the view that the term *research data* include all supporting documentation relating to research

¹ RA-FS 2009:1, Chapter 3, § 1 *Strategi för bevarande*

² ..."kravet på att de elektroniska handlingarna fortlöpande ska framställas, överföras, dokumenteras, hanteras, förvaras och vårdas så att de kan presenteras upprepat under den tid som de ska bevaras".

³ Gallringsbeslut

results. It can consist of everything from measurements, statistical data and interviews, to documentation of a scientific and/or artistic process that led to a research result.

Not all scientific or artistic disciplines use the term *data* but the working group has chosen to use the term *data* for all forms of supporting documentation for results from research with a scientific or artistic basis.

The working group believes that, rather than finding different terminology for different scientific or artistic disciplines, it is more important to try to broaden what we include in the term *data*. Not least because society and the research community place increasing demands on how we manage the supporting documentation for research results, through requirements for data management plans, or through incentives or requirements to make more than just the final results from the research process available.

Governing regulations

Most higher education institutions are state authorities, and as such are responsible for an archive consisting of public records. Research information and research data are also public records at the higher education institutions. The following excerpts from relevant laws and regulations have been chosen with regard to their impact on the preservation, deletion/destruction, and retention periods in respect of research information. Most higher education institutions are state authorities, and as such are responsible for an archive consisting of public records. Research information and research data are also public records at the higher education institutions. The following excerpts from relevant laws and regulations have been chosen with regard to their impact on the preservation, deletion/destruction, and retention periods in respect of research information.

Archive Act and Archive Ordinance

The Archive Act (1990:782) lays out the basic regulations for how Swedish public authorities must manage their archives. The archives at the authorities must be preserved, maintained, and safeguarded in such a way that they ensure the following:

1. the right of access to public records,
2. the need for information for the administration of justice and corporate administration, and
3. the ability to conduct research.

The Archive Act and the Archive Ordinance (1991:446) empower the National Archives to regulate how records must be created, maintained, deleted/destroyed, retained, protected, and transferred. This is regulated by National Archives statute book (RA-FS and RA-MS)⁴, which are binding regulations for state authorities and bodies that keep public records from state archives.

National Archives regulations and general advice on deletion of documents from state authority research activities (RA-FS 1999:1)

The regulation specifies which records created during research activities at the higher education institutions may be deleted/destroyed and after what retention period. However, the main principle is that public records must be preserved. According to the regulation, the higher education institutions must draw up decisions regarding how the rules of the regulation shall be applied at their local institution⁵, and after what retention period research data may be deleted/destroyed. Most higher education institutions have a 10-year retention period for research data; however, this is due to common practice and not a requirement from the National Archives. For certain medical research,

⁴ Författningssamling

⁵ Lärosätets Tillämpningsbeslut

there is a required retention period of 15 years or more, which means that many higher education institutions have a longer retention periods for medical research data.⁶

Act (2019:504) on responsibility for good research practice and the examination of research misconduct

The Act contains provisions on the responsibility of researchers and research authorities to ensure that research is carried out in accordance with good research practice. The Act also contains provisions on the procedure for investigating concerns regarding misconduct in research. Investigations of misconduct must be initiated within 10 years of an alleged occurrence⁷. This means that research information and research data must be kept for at least 10 years in order to be included in an investigation into misconduct. If an investigation is carried out, the higher education institution is obliged under law to provide the relevant information and records to the Board as requested, and to give the Board access to computers and other equipment that was used in the research⁸. If the higher education institution cannot meet its obligations, an injunction may be imposed in combination with a fine.

General Data Protection Regulation / GDPR (EU) 2016/679

The Regulation protects the fundamental rights and freedoms of natural persons and, in particular, their right to the protection of their personal data. It also regulates the free movement of personal data. Personal data may be kept for extended periods of time if the personal data is processed solely for the purposes of archiving records in the public interest, for scientific or historical research, or for statistical reasons. Research information may contain personal data, however, this alone is not a valid reason to delete/destroy the information. Storage of personal data requires the implementation of appropriate technical and organizational measures in order to ensure the rights and freedoms of the data subject (storage minimization). If researchers wish to process retained personal data again for new research, new authorizations must be sought and consent obtained for the new processing.

Public Access to Information and Secrecy Act (2009:400)

The Act outlines how public authorities must register, disclose and handle public records. It also controls restrictions on public access, such as duty of confidentiality and reasons public records may be regarded as confidential. In order to claim that a record contains confidential information, the information must be covered by an exemption in the Public Access to Information and Secrecy Act. The fact that a record contains confidential information is not a reason for deletion/destruction. In the case of a request for disclosure of a public record, a confidentiality assessment must be conducted in order to determine whether the document can be disclosed in whole or in part.

Act (1960:729) on Copyright in Literary and Artistic Works

The Copyright Act applies only within Sweden and regulates the author's right to his/her work. For something to be considered an original work, and therefore protected by copyright, it must meet the so called "threshold of originality", which means that the work must have a certain distinctiveness/originality. Copyrighted records are also included in the higher education institution's archive and they must be archived if they have been appraised and considered as being worthy of preservation.

⁶ Directive 2003/63/EC and regulation EU No 536/2014

⁷ Act 2019:504 8 § (Statute of limitations)

⁸ Act 2019:504 12 § (Collaboration and reporting obligations of the research authority)

Decision on preservation and deletion/destruction

Through its regulations, the National Archives imposes requirements on the management of research information by higher education institutions. Management processes must be documented in recorded decisions explaining how the regulation is to be applied locally, and is often outlined in the institution's Records management plan. The National Archives recommends that higher education institutions draw up delegation rules that govern which job role can make decisions about deletion/destruction. Decisions regarding deletion/destruction of records must be documented by the higher education institution. Higher education institutions also have responsibility for records that may be deleted/destroyed at a later time, to ensuring that they can be retrieved, viewed, read, and understood throughout the period of time they are to be kept.⁹ The Act (2019:504) on responsibility for good research practice and the examination of research misconduct, also requires higher education institutions to be able to provide research information and records as requested by the National Board for Assessment of Research Misconduct, and to provide the Board access to computers and other equipment used in the research.

An understanding of the research area in question is required in order to assess whether research information, and in particular whether research data, should be deleted/destroyed or preserved. It is therefore important that the assessment is made in collaboration between the archives (or similar function at the higher education institution that deals with preservation and deletion/destruction issues), and individuals familiar with the research subject. In order to ensure that the correct competence is available, it is therefore important that an initial appraisal of whether the information should be preserved or deleted/destroyed is made at an early stage of the project and at the latest in connection with the end of the research project. If research information is to be deleted/destroyed, detailed processes are required, outlining how the deletion/destruction should be carried out. A second appraisal must be made in connection with the actual deletion/destruction. Circumstances may have changed, so that the information must or should be preserved. The General Data Protection Regulation (GDPR) also requires the deletion/destruction of personal data to be documented.

External demands for open science and open data

demands that government funded research must be made openly available, both in terms of research data and publications, place increased demands on individual researchers, as well as on the support functions of higher education institutions. The Swedish Research Council has been tasked with promoting and coordinating the introduction of open access to research data¹⁰. Open access to research data means that data collected and/or created during the course of research should be published and freely available via the Internet. Alternatively, it means that metadata is published in cases where the research data contain sensitive information and therefore cannot be published openly, but are instead, for example, made available to another researcher following ethical approval.

SUHF established its National Roadmap for Open Science (REK 2021:1) in early spring 2021, outlining a number of points that define the responsibilities of higher education institutions and the measures needed to move towards an open science. These outlines, among other things, the need to "adopting, implementing and supporting local steering documents or frameworks" and to "provide relevant research and education support services relating to Open Science that can meet

⁹ National Archives regulations and general advice on electronic documents (recordings for automated processing) RA-FS 2009:1

¹⁰ <https://www.vr.se/uppdrag/oppen-vetenskap.html>

researchers' needs for support throughout the research process, i.e. before, during and after a research project, in a resource-efficient manner".¹¹

Responsibility for research information at the higher education institutions

The work on good data management will be greatly facilitated if the higher education institution clearly formulates what it considers to be the researcher's individual responsibility and the higher education institution's overall responsibility in the management of research data. It will also be facilitated by clarity about the type of support that the higher education institution offers for the management of research data. Not least for the individual researcher, who then knows what support to expect at his/her own higher education institution. This also gives researchers reasonable opportunity to budget for and, if necessary, apply for funds for data management support services if these are not covered by the higher education institution's overhead costs.

The more clearly the higher education institution sets out who is responsible for what when it comes to managing research information, the easier it will be for the individual researcher to identify the right support and assistance, as well as to define what the researcher him/herself needs to be familiar with. When it comes to administrative records, higher education institutions use expert functions to assist them in the management of public records, such as archivists, registrars, information security specialists and lawyers. Unfortunately, in most cases, this type of support is not as explicitly available to researchers at higher education institutions, who then have to find their own solutions, often without expertise in the specialist skills mentioned above. This creates a risk of poor data management, but should also be recognized as a work environment issue in which the individual researcher finds him/herself in an impossible situation.

The responsibility of the higher education institution

- As a state authority, the higher education institution *must* assume responsibility for its archive consisting of public records in accordance with the Archive Act (1990:782).
- The higher education institution *must*, in accordance with the Archive Act, (1990:782) assume responsibility for the research information, regardless of the amount of data, and the responsibility cannot be waived by agreement or assigned to another authority or organization without the prior approval of the National Archives. The responsibility of the higher education institution is regardless of whether the research information has attained the "threshold of originality" and is protected by copyright or is covered by the intellectual property rights of academic staff, so-called *Lärarundantaget*.
- The higher education institution *must* assume responsibility for ensuring that adequate and secure storage is available for research information for the period of time during which the information shall be kept /preserved in accordance with the Archive Act (1990:782).
- The higher education institution *must* draw up a decision on the application of RA-FS 1999:1
- The higher education institution *must* have a strategy for preservation that includes research information and file formats for preservation in accordance with RA-FS 2009:1 Chapter 3, § 1.
- The higher education institution *must* examine the criteria for preservation in accordance with RA-FS 1999:1 before deleting/destroying research information. Decisions regarding deletion/destruction *should* be documented.
- The higher education institution *should* draw up a research data policy in order to facilitate a clear division of responsibilities between the higher education institution and the individual researcher.

¹¹ SUHF "National Roadmap for Open Science" p. 4

- The higher education institution *should* review the need for different policy documents that regulate and clarify the management of research information.
- The higher education institution *should* draw up a Memorandum of Understanding for research projects with participants from other higher education institutions or organizations. This *should* also include information on the responsibility for archiving procedures. The higher education institution's responsibility for its public documents cannot be waived.

Responsibilities of the researcher

- The researcher is responsible for complying with the higher education institution's policy documents with regard to the management of research information.
- The researcher is responsible for carrying out an information assessment of the research project's data in consultation with the support functions at the higher education institution and in accordance with the preservation criteria in the decision of the higher education institution on the application of RA-FS 1999:1.
- The researcher is responsible for delivering public records that are subject to preservation to the higher education institution's archive function.

The continued work on the recommendation

SUHF's expert group for archives and information management considers that this recommendation is a first attempt to identify common definitions, procedures, criteria, and positions to adopt in the complex process of storing, preserving and possibly deleting/destroying research data.

The recommendation will need to be continually updated and amended as external demands change and new needs emerge for common approaches to the management of research data.

The expert group is grateful for continued feedback and input from all those who use the recommendation so that SUHF's higher education institutions jointly can develop reasoning and working methods for the management of research information. Please send any comments and suggestions to the expert group for archives and information management via SUHF's office.

During the course of the work on this recommendation additional issues relating to collaborations between higher education institutions at both national and international level have been raised. We have chosen not to address these issues in this first version, as they are too complex to be resolved within the scope of this project.

Recommendation on the preservation and deletion/destruction of research information

Research data can have different characteristics and not be pre-defined to a particular form with regard to the research basis. Used within the sciences as evidence in the research process and as an accepted way to underpin, validate/evaluate and/or replicate or reproduce research results. Artistic research data are defined by using meaningful and representative information that provides an understanding of the choices made during the research process that led to the artistic research result. Research data may include observational, experimental, real-time data, or be the practitioners' research in and through their practical work with the results of investigations, approaches and processed material.

<https://codata.org/initiatives/data-science-and-stewardship/rdm-terminology-wg/rdm-terminology/>

See raw, primary, and secondary data in the tables below.

One set of information can consist of several information types. In other words, the same data can be raw data, primary data, data containing personal data and can be subject to rules on confidentiality. Not all research projects will be affected by all types of information.

A dataset is an organized collection of data in a computational format, defined by a theme or category that reflects what is being measured/observed/monitored.

<https://codata.org/initiatives/data-science-and-stewardship/rdm-terminology-wg/rdm-terminology/>

See other types of information, such as raw data.

Administrative documents

Type of information	Description	Handling instructions	Preservation or deletion/destruction	Links to definition
Project plan	Description of the background of the chosen project form with purpose, objectives and scope, as well as how the project will be carried out and how the results will be reported/presented.	Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Application for funding	Application for research funding regardless of type of funding.	Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Decision on application for funding	Important documentation for the outcome of the application. Part of the higher education institution's reporting requirements for, for example, appropriation directions, motions, etc.	Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	

Types of information have been limited to those relevant for storage, publication and archiving. Similarly, handling instructions have been limited to such that are of potential relevance to assessments of preservation and deletion/destruction, or how the information should be managed during storage and archiving.

A further delimitation is that which does not constitute a public record, such as biobank material or physical objects. These can form the basis for research results, but are governed by completely different legislation, such as the Biobank Act (2002:297)¹² and the Historic Environment Act (1988:950)¹³.

Handling instructions and retention period (preservation or deletion/destruction) are based on current Swedish laws and regulations. These must be complied with in respect of the information that is collected and kept in Sweden, regardless of whether the research project is a national project or part of an international collaboration.

With regard to information that is regulated by the General Data Protection Regulation (GDPR), this recommendation focuses on data collected and processed in Sweden and how the law is applied here. The processing of personal data in relation to third countries is not included in this work, and questions on this subject should be referred to the data protection officers and lawyers at the higher education institution in question.

Where the recommendation uses the word *must*, it refers to a current law, regulation or ordinance with which higher education institutions are obliged to comply. Where the word *should* is used, it is a recommendation from SUHF.

¹² Lag (2002:297) om biobanker i hälso- och sjukvården m.m.

¹³ Kulturmiljölagen (1988:950)

Cost estimate		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Correspondence with financiers		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Permission to conduct research	Application and decision. <i>For example, ethical review, permission to conduct animal experiments, permission from the Swedish Chemicals Agency, the Swedish Radiation Safety Authority, or similar.</i>	Handled in accordance with the existing procedures at the higher education institution. It is important to document which research project and which dataset the permission applies to in order to be able to subsequently prove that the data was collected with the correct authorization.	Preserved in accordance with RA-FS 1999:1	

Contracts and other agreements

Type of information	Description	Handling instructions	Preservation or deletion/destruction	Links to definition
Agreements concerning research projects	Various agreements related to research/research projects, such as memorandum of understanding, contract research agreements, or contracts relating to the purchase of goods and services.	Handled in accordance with the existing procedures at the higher education institution. Memorandum of understanding can regulate who is responsible for archiving procedures and therefore for the project research information.	Preserved in accordance with RA-FS 1999:1	
Information on transferred confidentiality	Information on transferred confidentiality between public authorities. <i>See data subject to confidentiality from another principal</i>	Information on transferred confidentiality should be documented in writing. The disclosing authority must, according to Public Access to Information and Secrecy Act ¹⁴ Chapter 11, § 3, indicate which section of the Act is applicable and whether there are any specific requirements for deleting/destroying the information. <i>See also data subject to confidentiality from another principal</i>	Preserved in accordance with Archive Act (1990:782) § 3	
Conditions for access to research data	Confidentiality agreements must not be used between public authorities. Confidentiality agreements in accordance with Public Access to Information and Secrecy Act Chapter 10, § 14, can	<i>See data subject to confidentiality from another principal</i>	Preserved in accordance with Archive Act (1990:782) § 3	

¹⁴ Offentlighets- och sekretesslag (2009:400)

	only be signed between the disclosing authority and private individuals. If a research project will receive confidential information from a non-public organization, any confidentiality agreements they require must be signed between the organizations.			
Minutes/documentation of steering and reference group meetings or similar.		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Reports on financial accounts		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Short debriefing/documentation	For example: log book, diary, lab report	Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Data management plan	Documentation on the handling of information from research projects.	Handled in accordance with the existing procedures at the higher education institution.	All established versions should be preserved in accordance with RA-FS 1999:1	https://snd.gu.se/en/manage-data/plan/data-management-plan
Information on licence for use of research data and program code	For example, MIT and different versions of GPL for software code or Creative Commons (CC) - a licensing system based on copyright. The author/creator has the exclusive right to decide how to use what has been created. CC licences can be applied to research data made available/published.	When licensing research data, it is important to take into account the legislation that governs the handling of public documents.	Preserved in accordance with Archive Act (1990:782) § 3	https://creativecommons.org/ https://choosealicense.com/

Research data

Type of information	Description	Handling instructions	Preservation or deletion/destruction	Links to definition
Raw data	Basic data that have not undergone processing. <i>For example, measurements coming directly from measuring instruments, observations, interview recordings, or raw survey responses.</i>	<i>See primary and secondary data</i>	<i>See primary and secondary data</i>	https://codata.org/rdm-terminology/raw-data/
Primary data	Primary data, or primary material, consist of 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 be generated from the results of the research process, such as program code. <i>For example, data collected through observations, in scientific or artistic experiments, or through questionnaire surveys or interviews.</i>	Appraisal of records should conform to the higher education institution's decisions relating to the interpretation/application of the law. According to the General Data Protection Regulation (GDPR), among others, the handling of research data must also consider the privacy of the trial subjects. Note that in rare cases, primary data may reach the "threshold of originality" in accordance with the Copyright Act and may therefore be covered by copyright. Information being covered by copyright does not affect the archiving process.	Preserved in accordance with RA-FS 1999:1 if data is judged to be: <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution.	
Secondary data	Secondary data or secondary material previously collected in an earlier study or for another purpose. <i>For example, data provided by another principal investigator or from another research project, statistics collected from another authority or patient data with another principal investigator.</i>	May sometimes contain confidential information. <i>See data subject to confidentiality from another principal investigator</i>	Should be deleted/destroyed when the information is no longer needed, provided that information about the principal investigator, criteria and method of collecting the data is documented so that the data can be reproduced should it be necessary. If these criteria are not met, the data should be treated as primary data. Deletion/destruction is subject to RA-FS 1999:1	https://www.statistikdataboks.se/ord
Data subject to confidentiality	Data covered by confidentiality in accordance with the Public Access to Information and Secrecy Act (OSL).	It is the responsibility of the higher education institution and each individual employee with access to the information not to disclose the confidential information. In accordance with OSL, the data must be managed in such a way that it is protected. The higher education institution should have existing procedures in place for managing data subject to rules on confidentiality. The existence of confidentiality does not affect the appraisal	Preserved in accordance with RA-FS 1999:1 if data is judged to be: <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. 	

		of whether the information should be deleted/destroyed or preserved.	If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution.	
Data subject to confidentiality from another principal investigator	Secondary data subject to confidentiality.	Confidential information may sometimes be disclosed between authorities with a transfer of confidentiality in accordance with OSL, Chapter 11, § 3. If so, this should be documented, see Information on transferred confidentiality. Another approach could be to not collect information of a confidential nature, but only non-confidential notes. <i>For example, notes from observations of children in a preschool environment.</i>	Should be deleted/destroyed when the information is no longer needed, provided that information about the principal investigator, criteria and method of collecting the data is documented so that the data can be reproduced should it be necessary. If these criteria are not met, the data should be treated as primary data. Deletion/destruction is subject to RA-FS 1999:1	
Dataset	A dataset is an organized collection of data in a computational format, defined by a theme or category that reflects what is being measured/observed/monitored.	Handling according to content. Reproduces what has been measured, observed, or collected. <i>See other types of information, such as raw data.</i>	<i>See other types of information, such as raw data.</i>	https://codata.org/rdm-terminology/dataset
Openly available data / data with openly available metadata	Data made available to others, normally via the Internet, compare CC licences or data whose metadata is published but where the data cannot be made openly available for various reasons.	To make data available is not the same as to archive, and it is important that higher education institutions ensure that these data are also archived in their archives. Data that is not openly available but have openly available metadata should be preserved as long as publication of metadata is ongoing.	Information about access/availability and links to persistent identifiers should be preserved together with the archived dataset. Preserved in accordance with RA-FS 1999:1 if data is judged to be: <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution.	https://www.europeandataportal.eu/sites/default/files/european_data_portal_-_open_data_goldbook.pdf

Research data contd.

Type of information	Description	Handling instructions	Preservation or deletion/destruction	Links to definition
Processed data	Data that have undergone processing either by a computer program or manually. <i>For example, compiled questionnaire survey responses, transcribed interviews, aggregated data.</i>	Processed data which is not in a finalized state may be culled/weeded and is not considered a public record. However, the data must be retained if it is needed in order to verify research results. Some processed data should also be considered for long-term preservation in accordance with National Archives regulations. Primarily, documented code or method used for manual analysis to perform processing should be preserved where possible. Note that in some cases, processing of data may reach the "threshold of originality" in accordance with the Copyright Act, and may therefore be covered by copyright.	Preserved in accordance with RA-FS 1999:1 if data is judged to be: <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution.	
Work document / Processing material	For example, intermediate products, such as various non-final processing of datasets, notes or similar not contributing to understanding research results.		May be culled/weeded during the project when the information is no longer needed. Does not constitute public documents in accordance with Freedom of the Press Act §§ 11-12	
Method description	Description of how research data is collected, processed, tested, analysed, etc. <i>For example, code to process empirical data, description of prerequisites, etc. May vary greatly between different research disciplines.</i>		Preserved in accordance with RA-FS 1999:1	
Pre-registration	Pre-registration that forces researchers to sign-up to use certain hypotheses and methods of analysis before the actual data collection begins.	Part of the method description for the research project	Preserved in accordance with RA-FS 1999:1	

Research data contd.

Type of information	Description	Handling instructions	Preservation or deletion/destruction	Links to definition
<p>Codes, code descriptions, concepts and conceptual explanations</p>	<p>Codes created in connection with data processing and code description that are needed in order to understand and be able to read the data. Concepts and conceptual explanations that are needed for the understanding.</p>	<p>May be deleted/destroyed if the dataset is deleted/destroyed and if it is not part of the method description for the project. If data is made available, this must also be made available.</p>	<p>Preserved in accordance with RA-FS 1999:1 if data is judged to be:</p> <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. <p>If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution.</p>	
<p>Program code to process data</p>	<p><i>For example, scripts to perform statistical analyses of data.</i></p>	<p>Part of the method description for the research project. Note that the code itself should be seen as part of the method description. Running the code is part of the method.</p>	<p>Preserved in accordance with RA-FS 1999:1</p> <p>In general, it is more important to preserve code than to preserve data generated from the code. Code may also have a preservation value even if the specific data used as input when the code was run is not preserved.</p>	
<p>Documentation of program code</p>	<p><i>For example, information about versions of software libraries, operating systems, etc., used when the code was run to generate the results within the research project.</i></p>	<p>If this is part of the method description, it must be preserved.</p>	<p>Documentation of program code must be preserved to the same extent that the code is preserved.</p> <p>Preserved in accordance with RA-FS 1999:1 if data is judged to be:</p> <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. <p>If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution.</p>	

Research data contd.

Type of information	Description	Handling instructions	Preservation or deletion/destruction	Links to definition
Code keys	Code identifying pseudonymised persons within a research project	Kept for as long as the processing of personal data continues. Code key cannot be deleted/destroyed as long as there is a need to verify research results or return to the same trial subjects. If personal data is deleted/destroyed, code keys can also be deleted/destroyed. If the code key is deleted/destroyed and it is not possible to identify individuals through other information, the dataset is anonymised and no longer contains personal data. The dataset is then no longer subject to the General Data Protection Regulation (GDPR). The code key should be kept separate from the dataset it identifies (often a requirement of the Swedish Ethical Review Authority, for example). The code key must be preserved for longitudinal studies.	Preserved in accordance with RA-FS 1999:1 if data is judged to be: <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution.	
Personal data	Information about a person that can be linked to that person, directly or indirectly. <i>See the General Data Protection Regulation (GDPR), Article 4</i>	During appraisal, the privacy of the individual must be weighed against the information's inherent value for further research or the public interest. Where there are aggregations of data that no longer contain personal data, these should primarily be what are preserved.	Preserved in accordance with RA-FS 1999:1 if data is judged to be: <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution. Deletion/destruction must be documented.	

Research data contd.

Type of information	Description	Handling instructions	Preservation or deletion/destruction	Links to definition
Sensitive personal data	Referred to as ‘special category data’ in the General Data Protection Regulation (GDPR). Data that directly or indirectly reveal race, ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, genetic data, biometric data uniquely identifying a natural person, data on health or data on sex life or sexual orientation. <i>See the General Data Protection Regulation (GDPR), Article 9</i>	May only be handled under special conditions, such as ethical review approval. When assessing whether the data can be destroyed, the privacy of the individual must be weighed against the information's inherent value for further research or public interest. Where there are aggregations of data that no longer contain personal data, these should primarily be what is preserved.	Preserved in accordance with RA-FS 1999:1 if data is judged to be: <ul style="list-style-type: none"> • of a continuing value within the scientific area • of value to another research area • of great historical value for scientific, cultural, or individual reasons • difficult to recreate • of great public interest. If these criteria are not met, the data may be deleted/destroyed in accordance with the local regulations of the higher education institution. Deletion/destruction must be documented.	
Information on the processing of personal data	Information provided to research project participants explaining how their personal data will be processed during the project and when the project ends. Used when the public interest is the legal basis for the processing of personal data.	Research conducted where the legal basis is public interest for research purposes, and where research subjects are only informed of but do not consent to the processing of personal data. Often included as an appendix to the application for ethical review.	One copy is preserved in accordance with RA-FS 1999:1. New versions must also be preserved if the information is versioned.	
Documented consents for processing of personal data in accordance with the General Data Protection Regulation / GDPR	Information about how consent is obtained and records of consent for the processing of personal data for research that cannot use public interest as the legal basis for the processing.	Must be kept for as long as the processing of personal data continues. If personal data is deleted/destroyed, documented consents can also be deleted/destroyed. If the research material is anonymised so that it no longer contains personal data, the consents must be deleted/destroyed. For this to be the case, any code keys or similar identifiers for people must also be deleted/destroyed. It is important to accurately document which dataset the consents apply to.	Should be deleted/destroyed when the processing of personal data can end. If consents are not deleted/destroyed, the processing of personal data does not end.	https://www.imy.se/en/organisatio.../data-protection/this-applies-according-to-gdpr/lawful-grounds-for-personal-data-processing/

Research data contd.

Type of information	Description	Handling instructions	Preservation or deletion/destruction	Links to definition
<p>Documented consents for processing of personal data in accordance with the Act concerning the ethical review of research involving humans</p>	<p>Information about how consent is obtained and records of consent for the processing of personal data where the legal basis for processing (in accordance with the General Data Protection Regulation (GDPR)) is public interest, but where the Act concerning the ethical review of research involving humans requires informed consent.</p>	<p>Must be kept for as long as the processing of personal data continues. If personal data is deleted/destroyed, documented consents can also be deleted/destroyed. If the research material is anonymised so that it no longer contains personal data, the consents must be deleted/destroyed. For this to be the case, any code keys or similar identifiers for people must also be deleted/destroyed. It is important to accurately document which dataset the consents apply to.</p>	<p>Should be deleted/destroyed when the processing of personal data can end. If consents are not deleted/destroyed, the processing of personal data does not end.</p>	<p>https://www.riksdagen.se/sv/dokument-lagar/dokument/svensk-forfattningssamling/lag-2003460-om-etikprovning-av-forskning-som-sfs-2003-460</p> <p>https://etikprovningensmyndigheten.se/en/what-the-act-says/</p>

Debriefing

Type of information	Description	Handling instructions	Recommendation preservation/deletion / destruction	Links to definition
Conference papers		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Posts, social media		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Press release		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Articles		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Dissertations	Dissertations of various kinds.	Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Documentation of non-written presentations of scientific or artistic research results	Documentation of presentations. This could be documentation of seminars, conferences or various artistic events, among other things.	Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Interim reports		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Final reports		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Popular scientific publications	Easy-to-understand communication for the general public, for example information published on the Internet or as popular scientific lectures, newsletters, films, podcasts	Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	
Lists of objects, photographs, or similar.		Handled in accordance with the existing procedures at the higher education institution.	Preserved in accordance with RA-FS 1999:1	

Patent applications

A patent is a time-limited and legally binding right to prevent others from benefiting commercially from a particular invention. A country's patent office will grant the right following a successful application with documentation for the invention. Usually managed by the researcher as a private individual or with the support of holding companies where appropriate. Must not become part of the higher education institution's archive – will be managed outside the state authority. www.prv.se