Relocation to Albano – how to deal with archive materials
(1 annex)

Introduction

Starting provisionally in autumn semester 2020, designated parts of the organisation will be moving to Stockholm University’s new Albano campus, which is currently under construction. The final departments are expected to move in for spring semester 2022.

The move will also necessitate a change in working methods. Opportunities to create analogue local archives will be limited at Albano, which means that all departments will in future have to reduce the number of paper documents and introduce a digitalised working method.

This document contains overarching and general information about preparing for the move. The target group is administrative staff, teachers and researchers. Depending on each department’s specific needs, these instructions may need to be developed/enlarged upon together with the Archive Unit and the department’s staff, e.g. Head of Administration and the department’s archivist.

Objective

The objective of this document is to facilitate the move to Albano by reducing the volume of paper documents, which will need to be delivered to the central archive. Cleaning up, purging and collating the documents will also make it easier to organise and register them. There is also of course, a need to be able to easily find the documents in the event of a request for the release of a public document before the material has been organised and registered.

 Preconditions

The Archive Unit’s role in this work is to provide advice and support, but the departments themselves must do the manual work. To make the material more easily manageable, one good tip is to start purging those documents that can already be purged in order to achieve a

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1 See Glossary
2 See Glossary
better overview and to create space. You can also purge if there is more than one copy of the document in the department.

For general advice about the storage and purging of research material, see the section entitled Handling of research material.

Premises will be needed in the departments with work areas where material can be collected that may have been dispersed among several different places. Premises will also be needed to store the packed, labelled removal cartons.

Older material may be difficult to handle, as it does not have important metadata\(^3\). It is therefore important not to take documents out of binders, but to copy the information that is contained in the binder or in dividers. It is also important to maintain the sequence of the documents in the binder.

Documents with personal data, sensitive personal data and privacy-sensitive personal data must, when purged, be shredded or placed in a secure data container, which can be ordered from “Gods” (Property Department, Service Section).

Handling of administrative and educational material

**Clean out – Purge – Collate** (to gather or arrange documents in their proper sequence)

There are two parts to the work prior to the move to Albano. Firstly, the volume of documents is to be reduced through the material being cleaned out and purged. Secondly, the material needs to be made searchable by collating and labelling it.

The work must be efficient, which means that in the matter of purging there must not be time-consuming discussions into whether individual documents are to be purged or saved. The rule of thumb is:

*If you need to spend more than two minutes considering whether a document is to be purged or saved, save it. It can always be purged later when the material is being organised and registered.*

Before purging, always check with the department’s archivist about what has already been delivered to the central archive. Does there seem to be something missing in the material delivered? If you are unsure, always pack away the material.

If you have any doubts or you need support and advice, contact the Archive Unit at albano.sub@su.se.

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\(^3\) See Glossary
Clean out
Cleaning out material means removing provisional documents that are not in the public domain (working documents), such as drafts and notes\(^4\), from a piece of material. When cleaning out working documents and provisional versions, there is no need to consult the regulations, i.e. no purge decision is needed.

Plastic sleeves, rubber bands, paper clips, rivets and post-it notes must also be removed, as they can damage the document in the archive. Staples, however, may be left in place. Also, take a copy of post-it notes that contain important information.

Throughout the years, many members of staff have built up their own reference libraries. Those books that are not available digitally and are being used as reference material in current research may be taken to Albano on the condition that there is enough space. Other books must be taken home or cleared away. The Archive Unit has no information at present about how many shelf metres each employee will have access to at Albano.

**NB:** Theses and other publications that have been produced as part of SU’s activities belong to SU’s archiving procedure and must be preserved. This also applies to papers that have been produced for presentation at the department’s/SU’s conferences or external ones.

Plastic dividers in binders must be removed, as the plastic is harmful to paper documents. Replace with paper dividers or a “document cover”, i.e. a sheet of A3 paper. Copy the table of contents so that the information about what is contained in the binder does not disappear. Place everything in an archive box. If the binder label contains information, which is of importance in order to understand the information that must also be included. Then discard the binder.

Purge\(^5\)
Purging and cleaning are similar activities, however public documents must be purged and this requires an official decision. This means that a decision to purge must be made that states what may be purged and when. Always contact the department’s archivist or the Archive Unit at albano.sub@su.se if there is any uncertainty.

Documents that are of temporary or little significance may be purged\(^6\). Examples of this are invitations, advertisements or enquiries of a routine nature, e.g. questions about hours of business and when the semester starts. Duplicates in the department can be purged.

Copies of personal documents where the original is stored centrally can be purged. Only save copies for current staff for administrative reasons in the department. According to GDPR, there must always be a justification for the processing of personal data. If there is, any doubt

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\(^4\) Notes are personal records taken at, for example, a meeting and are not to be confused with the minutes, which are taken to be read by everyone in the group.

\(^5\) See Glossary

\(^6\) See Annex 1 Glossary and relevant regulations
about whether this is a copy whose original is saved centrally or whether the document is an
original: Save!

Temporary aids such as Admission Lists/Registration Lists/Reserve Lists must be purged
when they are no longer needed for the organisation, by the latest before the start of the next
semester.

**Packing instructions – for those working with administration and
 teaching**

Collate (to gather or arrange documents in their proper sequence)

Collate the documents that belong together, e.g. documents that belong to the same case or
documents that belong to the same document category. If there are several of you working
with the same type of document, e.g. course administration and finance documents, it is a
good idea to collaborate so that the documents are kept in chronological order.

To facilitate packing into archive boxes and removal cartons, the same document classes
(handlingsslag) and document types (handlingstyp) must be kept together. Examples of
document classes are course documents that contain, for example, the document type
bibliography.

Personnel documents must be packed separately, as must financial documents. The archive
lists taken from the old Ladok system belong to the administration’s archive and must be
sorted separately.

**Archive box**

Label the archive box, with a pencil:

*Name of department*

*Document class/document type (Handlingsslag/handlingstyp)*

*Other relevant information, e.g. course code or subject*

*Confidentiality (if relevant)*

*Year/Period*

*Serial number, if there are several archive boxes with the same document type*

**Example:**

<table>
<thead>
<tr>
<th>Department of Psychology</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minutes of Department Board</td>
</tr>
<tr>
<td>2014-2015</td>
</tr>
<tr>
<td>No. 1</td>
</tr>
</tbody>
</table>
Removal carton
The material must be moved to different archive premises and therefore needs to be sorted into different removal cartons.

Make sure you keep document classes and document types together. Examples of document classes are course documents that contain, for example, the document type bibliography.

Label the removal cartons with labels:

- Archive room (filled in by the department’s archivist)
- Name of department
- Document class/document type
- Other relevant information (e.g. details of educational level and programme)
- Confidential YES/NO
- Semester/Year /Period
- Removal carton no. (filled in by the department’s archivist)

Example:

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C2
Department of Psychology
Course documentation
Course syllabuses,
bibliographies, degree projects
Undergraduate level
2004
No. 1

NO
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Labels will be sent out to the department’s archivists before packing.

When you have finished packing, contact the department’s archivists so that they can complete the Excel list of the department’s removal cartons and their contents.

Feel free to contact us at albano.sub@su.se

Tommy Westergren (project manager)
Ulrika Oskarsson (archivist)
Margareta Ödmark (IT archivist)
Handling of research material

Research material consists of documents that have been produced in connection with basic research, applied research and development work, and consists of research data and results, as well as administrative and financial documents. Research is a large and important part of Stockholm University’s activities and archiving procedure.

Documents must be preserved if they describe the purpose, method and result of a research project. Research data that is considered to have continued value for further research must also be preserved. Make sure you also preserve any documents that help to provide a good understanding of what happened during the project and how the material is to be interpreted.

Who owns the research material?

The main principle is that the University (seat of learning) owns the research material.

Individual pieces of data do not meet the threshold of originality, according to copyright law. The seat of learning does, however, have a legal responsibility for information regulated by GDPR, the Swedish Public Access to Information and Secrecy Act and the Swedish Archives Act. For subject matter to be considered to constitute a piece of work, the result must derive from an originator’s own, personal, intellectual creativity. Please note that research material, e.g. processed research data and publications that have met the threshold of originality, still belong to the University’s archiving process and must be archived.

Can research material be declared confidential?

The answer is YES. For it to be possible for a document to be declared confidential, however, there must be support for this in the Swedish Public Access to Information and Secrecy Act. In the event of a request for the disclosure of a public document, an assessment is then performed as to whether the document may be fully or partly disclosed.

The handling of personal data is regulated by GDPR. Special provisions apply for sensitive personal data and personal data relating to children. Privacy-sensitive personal data is not

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7 See Glossary Public document
8 See relevant regulations
9 https://www.su.se/medarbetare/organisation-styrning/juridik/upphovsr%C3%A4tt/upphovsr%C3%A4tt-1.24178
10 See relevant regulations
11 See Glossary
12 See Glossary
13 See Glossary
defined in GDPR, but it may still be worthy of protection\textsuperscript{14}. Find out more about what applies for the processing of personal data by public authorities on the Swedish Data Protection Authority’s website.\textsuperscript{15}

**Clean out – Purge – Collate (to gather or arrange documents in their proper sequence)**

The work that is done ahead of the move to Albano will mean that the volume of documents will be reduced through the material being cleaned and purged, and the material being made searchable by collating and labelling it.

The work must be efficient, which means that in the matter of purging there must not be major discussions as to whether individual documents are to be purged or saved. The rule of thumb is:

*If you need to spend more than two minutes considering whether a document is to be purged or saved, save it. It can always be purged later when the material is being organised and registered.*

If there are any doubts or you need support and advice on what to think, contact the department’s archivist or the Archive Unit at albano.sub@su.se.

**Cleaning out**

Cleaning out material means removing documents that are not public (work documents), such as drafts and notes\textsuperscript{16}, from a piece of material. To clean out work documents, there is no legal requirement, i.e. no purge decision is needed.

Plastic sleeves, rubber bands, paper clips, rivets and post-it notes must also be removed, as they can damage the document in the archive. Staples, however, may be left in place. Also, take a copy of post-it notes that contain important information.

Throughout the years, many staff have built up their own reference library. Those books that are not available digitally and are being used as reference material in current research may be taken to Albano on the condition that there is enough space. Other books must be taken home or cleared away. The Archive Unit has no information at present about how many shelf metres each employee will have access to at Albano.

\textsuperscript{14} https://www.datainspektionen.se/lagar--regler/dataskyddsforordningen/kansliga-personuppgifter/

\textsuperscript{15} https://www.datainspektionen.se/vagledningar/for-myndigheter/

\textsuperscript{16} Notes are personal records taken at, for example, a meeting and are not to be confused with the minutes, which are taken to be read by everyone in the group.
NB: Theses and other publications that have been produced within SU’s activities belong to SU’s archiving procedure and must be preserved. This also applies to papers that have been produced for presentation at the department’s/SU’s conferences or external ones.

Plastic dividers in binders must be removed, as the plastic is harmful for paper documents. Replace with paper dividers or a “document cover”, i.e. a sheet of A3 paper. Copy the table of contents so that the information about what is contained in the binder does not disappear. Place everything in an archive carton. If the binder label contains information that is of importance in order to understand the information, that must also be included. Then discard the binder.

Purge

Purging and cleaning out are very similar activities, however when public documents are to be disposed of they must be purged and this requires official approval. This means that there must be a decision to purge that states what may be purged and when. Always contact the department’s archivist or the Archive Unit at albano.sub@su.se if there is any uncertainty.

Documents that are of temporary or little significance may be purged. Examples of this are invitations, advertisements or enquiries of a routine nature. Duplicates in the department can be purged.

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17 See Glossary
18 See Annex 1 Glossary and relevant regulations
## Checklist for research material that must be packed ahead of the move to the central archive\(^{19}\)

<table>
<thead>
<tr>
<th>Administrative documents</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applications for funding with attachments</td>
<td>Rejections must also be preserved</td>
</tr>
<tr>
<td>Decisions on funding</td>
<td></td>
</tr>
<tr>
<td>Ethical reviews</td>
<td></td>
</tr>
<tr>
<td>Permits</td>
<td></td>
</tr>
<tr>
<td>Reservations from archivists of secondary data</td>
<td></td>
</tr>
<tr>
<td>Contracts and agreements</td>
<td></td>
</tr>
<tr>
<td>Project description</td>
<td></td>
</tr>
<tr>
<td>Other correspondence with public authorities/other researchers/individuals</td>
<td>Preserve if they facilitate an understanding of the research project’s implementation</td>
</tr>
<tr>
<td>Data management plan (DMP)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial documents</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial interim and year-end reports for the financier.</td>
<td></td>
</tr>
<tr>
<td>Accounting materials</td>
<td>Swedish National Archives’ regulations and general advice on the purging and lending of accounting information, etc.; (RA-FS 2018:10)</td>
</tr>
<tr>
<td>Other financial documents relating to the project’s finances</td>
<td>Preserved if the project’s finances have been independent and not formed part of the department’s general financial management</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Research data</th>
<th>Comments</th>
</tr>
</thead>
</table>
| Research data/Data sets | • Paper documents  
• Data carriers, e.g. hard disks and CDs |
| Project diary/logbook | |
| Blank questionnaire and interview forms | |

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\(^{19}\) See also application decision SU FV 2.6.2-3131-14 Rules on the preservation and purging of documents within research activities at Stockholm University
### Program code/source code

<table>
<thead>
<tr>
<th>Proprietary source code used to produce research data</th>
</tr>
</thead>
</table>

### Details of measuring instruments and which version has been used

### Details of commercial software used in the production of research data

### Details of secondary data

Where data was obtained that was not produced in the specific project, i.e. is not primary material. Might be, for example, data from Statistics Sweden (SCB)

### Code lists

<table>
<thead>
<tr>
<th>Publications and other reports of interim and final results</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theses</td>
<td></td>
</tr>
<tr>
<td>Interim and final reports</td>
<td></td>
</tr>
<tr>
<td>Papers and reprints</td>
<td></td>
</tr>
<tr>
<td>Books, chapters in books, monographs</td>
<td></td>
</tr>
<tr>
<td>Presentations at conferences</td>
<td></td>
</tr>
<tr>
<td>Other presentations</td>
<td></td>
</tr>
</tbody>
</table>
Packing instructions

Archive box/cover
Collate documents that belong to the same project regardless of the project manager. It is good if you can place them in an archive box, otherwise you can use a sheet of A3 paper to make a cover. It facilitates the future work of organising and registering if you keep documents together in the same box or cover, e.g. ethical review documents or applications and decisions on funding. Large volumes of research data contained in binders do not need to be removed, but you must rid the binders of plastic, paper clips and post-it notes. Use, for example, paper dividers to maintain the structure and order of the documents. If the post-it notes contain important information, they need to be copied and attached to the binder. The adhesive in the post-it notes damages sheets of paper if they are not removed. If you remove paper from the binder, make sure that you keep important meta data from the binders’ labels.

Write the following in pencil on the archive box or cover.

Name of department
Abbreviated name of project
Name of project
Document type (Handlingsstyp)
Confidentiality (if relevant)
Project manager and/or contact person (can be several persons)
Year

Example:

Department of Psychology
LöFa Project
The member, the trade union
and the salary
Application for funding
Magnus Sverke
2002

Removal carton
The material in the archive boxes/cover must be kept together per project regardless of the project manager and packed into removal cartons. Documents from the departments’ research projects will gradually be moved to the new archive premises. Make sure you do not place removal cartons that contain research material with sensitive personal data in public areas. Contact the department’s archivists or the Archive Unit at albano.sub@su.se
Label the removal cartons with labels:

*Archive room (filled in by the department’s archivist)*
*Name of department*
*Abbreviated name of project (can be several projects in the same carton)*
*Name of project (can be several projects in the same carton)*
*Research programme (if relevant)*
*Project manager and/or contact person (can be several persons)*
*Document class/document type*
*Confidential YES/NO*
*Year/Period*
*Carton no. (filled in by the department’s archivist)*

**Example:**

```
U119
Department of Psychology
LöFa Project
The member, the trade union and the salary
Magnus Sverke
Administrative and financial documents
2002-2006
No. 1
```

YES

Labels will be sent out to the departments before packing.

When you have finished packing, contact the department’s archivists so that they can complete the Excel list of the department’s removal cartons and their contents.

**Feel free to contact us at albano.sub@su.se**

Tommy Westergren (project manager)
Ulrika Oskarsson (archivist)
Margareta Ödmark (IT archivist)
Annex 1 Glossary and relevant regulations

Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Explanation</th>
<th>Source/reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public document</td>
<td>A document refers to a production in word or image or a reproduction that can be read, listened to or in some other way perceived only with technical aids. A document is public if it is kept at a public authority and is to be considered as being received at or created at the public authority.</td>
<td>Swedish Freedom of the Press Act, Chapter 2, Sections 3-4</td>
</tr>
<tr>
<td>Purge</td>
<td>Purging means that the information is deleted or destroyed. It should not be possible to restore purged information. The Swedish National Archives’ definition of purging is: To destroy public documents or information in public documents, or to take other measures with the documents that entail – the loss of significant data, – the loss of possible summaries, – the loss of search options, or – the loss of opportunities to assess the authenticity of the documents</td>
<td>RA-FS 1991:1, with amendments and reprint</td>
</tr>
<tr>
<td>Purge deadline</td>
<td>The time that must pass before a public document may be purged in accordance with a decision to purge.</td>
<td></td>
</tr>
<tr>
<td>GDPR (General Data Protection Regulation)</td>
<td>This regulation is part of the regulatory framework for the protection of the fundamental rights and freedoms of individuals, and in particular their right to have their personal data protected.</td>
<td>(EU) 2016/679</td>
</tr>
<tr>
<td>Meta data</td>
<td>“Data about data” – data that describes files and other data volumes and their content. Usually used about IT systems, but meta data is also used to describe the</td>
<td></td>
</tr>
</tbody>
</table>
connection between different paper documents and their context.

| Principle of public access to official documents | The principle of public access to official documents was established to give the general public insight into public activities. The principle finds expression in many ways in Swedish law, including the Swedish Freedom of the Press Act, the Swedish Public Access to Information and Secrecy Act and the Swedish Archives Act. |
| Personal data/sensitive personal data | **Personal data**

All kinds of information that can be directly or indirectly linked to a (physical) person who is alive. Image and sound data about a (physical) person also counts as personal data, even if no names are specified. Encrypted or coded data also constitutes personal data if someone has a key that can link it to a person.

**Sensitive personal data**

Personal data that reveals, for example, ethnic origin, political views, religious or philosophical beliefs, membership of a trade union, health, a person’s sex life or sexual orientation, genetic data or biometric data that unambiguously identifies a person.

| Cleaning out | Working documents and provisional versions of documents can be cleaned out and this requires no official approval |
| Cleaning out | Working documents and provisional versions of documents can be cleaned out and this requires no official approval |
Relevant regulations

- Swedish Archives Act (1990:782)
- General Data Protection Regulation/GDPR (EU) 2016/679, Regulation of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (The General Data Protection Regulation)
- Swedish Data Protection Act (2018:218)
- Swedish Public Access to Information and Secrecy Act (2009:400, OSL)
- The Swedish National Archives’ regulations and general advice (RA-FS and RA-MS) and SU application decisions,
  - RA-FS 2009:1, The Swedish National Archives’ regulations and general advice on electronic documents (recordings for automated processing)
  - RA-FS 2009:2, The Swedish National Archives’ regulations and general advice on technical requirements for electronic documents (recordings for automated processing)
  - RA-FS 2018:10 Swedish National Archives’ regulations and general advice on the purging and lending of accounting information, etc.
  - RA-FS 1999:1, The Swedish National Archives’ regulations and general advice on the purging of documents in research activities by public authorities
  - SU FV 2.6.2-3131-14 Rules on the preservation and purging of documents within research activities at Stockholm University (application decision of RA-FS 1999:1)
  - RA-FS 1991:6 Swedish National Archives’ regulations and general advice on the purging of documents of temporary or little importance.
  - SU FV 2.6.2-3133-14 Rules on the purging of public documents of temporary or little importance at Stockholm University (application decision of RA-FS 1991:6)
- Swedish Freedom of the Press Act (1949:105)
- Swedish Act on Copyright in Literary and Artistic Works (1960:729)