

# FAQ filing cases in Workzone

## Teaching, exam, assessment

### Notes from exam including assessments of theses

- ✗ Not necessary to file, but saved, cf. the Examination Order (BEK no. 22 of 09/01/2020) §23: *"The external examiner and the teacher should take notes during the assessment regarding the performance and grading for the use of a potential complaint case. The notes should be kept for a minimum of one year, and, in addition to this, until a potential complaint case is finished."*
- How to store exam papers?  
Because exam papers can contain confidential personal data e.g. civil registration numbers, you have an enhanced responsibility to keep the exam papers in a way and in a place where nobody besides yourself have or can gain access to them.
- For how long should exam papers and notes on these be stored?  
It appears from the Examination Order that exam papers and notes on these must be stored for a minimum of one year. This is because the material should be available for the processing of a potential complaint case.
- What to do with exam papers hereafter?  
After the period of storing the exam papers and notes on these expires, exam papers and notes must be destroyed.  
The documents containing confidential personal data must be shredded in an adequate way.



### Notes from PhD-assessments

- ✗ Not necessary to file. Everything in connection with assessment cases is managed by the Graduate School and saved (filed) in Planner.

If there are notes or correspondence of particular importance to a researcher in an assessment, he or she can make an enquiry with the Graduate School and ask them to file the correspondence on the particular case.

### Exam and plagiarism cases

- ✓ Is filed by the central administration office.

### External examiner activities outside of the universities' body of external examiners (e.g. §2-exams in the Danish national church)

- ✓ The agreement material must be filed if you are acting as an external examiner based on your employment at Aarhus University. The fee can then be sent to the School and activate a reduction of your work obligation in Vipomatic. In the case of a private engagement, the case must not be filed. An important indicator is also if you, in the context, are using AU-hours and get e.g. travel expenses covered by AU in connection with the activity. The question is thus whether you are speaking / acting based on your employment as a researcher at AU or as a private person with expertise within a given field.



### Should agreements in connection with student excavations be filed?

- ✓ Yes, all agreement material regarding e.g. field damage compensation, equipment hire, additional purchase of labour from local museums etc. must be filed.

## Research

### Research applications with external funding

- ✓ Relevant correspondence and reporting must be filed by the project owner. Grant letter, final application, budget, budget changes, approval of changes from funder as well as economical reporting is filed by Arts Finance.

### Research applications that do not receive funding

- ✓ Agreement material in connection with an application must be filed.

### Co-financed and commissioned research as well as public sector services

- ✓ See basic rules for collaboration with external parties (and associated filing) [here](#).

### Professional, editorial work

- ✗ Is not necessary to file – it is considered part of the normal professional work.



### Peer reviews

- ✗ Should not be filed because they concern documents that are not in their final state, and the activity is considered part of the normal professional work.

### Agreements with publishers regarding publication of books and articles, possibly special issues of journals

- ✓ Must be filed. Pay special attention to agreement material in connection with deliverance of specific services at specific times, fees etc.

### Authorship statement when co-writing with others

- ✓ Must be filed.

### Are registrations from PURE automatically filed?

- ✗ No, data in Pure is not filed automatically, neither publications, activities, projects, nor press or other.

### Informant agreements (interviews etc.)

- ✗ Are a part of research data and must be treated responsibly as research data, but not filed in Workzone – for storage of research data, see: [Data storage solutions \(au.dk\)](#).

### Personal data from research (confidential GDPR-information)

- ✗ Should not be filed in workzone, but registered in AU Record and treated according to AU guidelines: [Instructions for storage and processing of research data \(au.dk\)](#).



## Conferences, seminars, workshops

### Conferences, seminars, workshops

- ✓ The organizer files program and list of participants, accounts and potential reporting to external grant giver as well as agreements and correspondence with external speakers – for AU-conference held at campus or elsewhere.

## Enquiries, media contact, meetings

### Media contact

- ✓ A grey area where it can be appropriate to file the dialogue

### Enquiries from school and high school students

- ✗ This is actual administration, which does not fall within the obligation to file

### Meetings with external parties

- ✓ Agreement material must be filed

### Direct invitations to named employee

- ✓ The enquiry must be filed

### Open invitations – invitations to an academic field

- ✗ Should not be filed

## Representation in committees, boards, councils, advisory boards

**What should be filed if you are acting as an AU-representative in a committee? (see also 'what, who, when, how')**

**It can concern memberships of Danish or foreign boards, councils, committees, and societies (e.g. The Danish Institute in Rome, Svenska Riksbanken, Forskningsråd)**

- ✓ Primarily notices of meetings and summaries (the administrative processing), and not professional activities and decisions under the auspices of the committee in question. If awards, grants or the like are awarded, notes and decisions regarding this should be filed.

**Appointment for committees, councils and advisory boards – on behalf of School, Faculty or University**

- ✓ The appointment is filed by the unit the employee represents – the meeting activity is filed by the appointed member

## Counselling of committees, expert statements, Consultancy

**Lectures / appearance at Folkeuniversitetet, educational associations and the like**

- ✗ This is a private agreement insofar as remuneration goes to the speaker, and no AU travel funds or other AU resources are used for the job. Private work should not be filed in workszone.



### **Expert witness for a trial or the like.**

- ✓ Must be filed, because the status of expert is presumed to be closely connected with the employment at the university (even if you receive a private fee for the job).

### **Counselling of committees, expert statements and the like**

- ✗ Should not be filed – is considered part of the normal professional work

### **External consultancy as a private person**

- ✗ Should not be filed

## **Statements**

### **Statement for (former) employees**

- ✓ Must be filed in the personnel file of the person in question, because the workplace is the sender. The statement is forwarded to HR-partner of the School for filing (at present Marianna Bach Birn).

### **Statement for a student**

- ✗ Should not be filed. You should consider keeping the statement for a period if there is a possibility of being contacted by external parties in relation to what is written.



## What, who, when, how

**When do you act as an AU-representative and when as a professional expert (a private person)? (E.g. in statements to the press, under the auspices of Folkeuniversitetet or the like, and as a member of various fora).**

If you are not elected or appointed as a representative of AU, this demarcation is not clear. An important indicator is if you, in the context, use working hours and e.g. get travel expenses covered by AU in connection with the activity. The question is thus whether you are speaking / acting because of your employment as researcher at AU or a private person with expertise within a given field.

**What is an agreement?**

An agreement is a regulation of the relationship between two or more parties. The content can be diverse, for instance economical, legal, moral . . .

**What is an internal party?**

An internal party is, in connection with filing, an AU-employee

**When is an enquiry adequately big/important to be filed?**

The employees are better at determining the importance of an enquiry / an agreement. The Public Records Act is meant for the whole of the public sphere, and it does not outline a specific practice in relation to the field of universities.

**Can you edit material that has been filed?**

No, filed documents are locked for further editing.

**Can you add a party to an already created case?**

Yes, metadata for a case can be edited and parties added





**When must a case be closed?**

When there is no longer any activity on the project or – if the cases are continuous – at the end of the year the case is created to cover

**What do I do about mails and documents that are partly work-related, partly private?**

It is recommended to separate private and professional correspondence

**Must recipient/sender of mails be notified that the dialogue is to be filed?**

It is presupposed that it is common knowledge that public authorities have an obligation to file

**Social platforms (Twitter, Facebook etc.)**

All types of material can be encompassed by the obligation to file – speaking practically, it can be necessary to handle information from social media via screen dumps or notes of one's own

**Which areas will generally be subject of the right of access to documents?**

Anything can potentially be subject of the right of access to documents – the questions are often about management pay, entertainment expenses, administration of specific funds, cooperation relations, research areas within the attention of the public . . . .

**Who has access to the documents of Rigsarkivet (after the legal deposit )?**

As a standard, there is an accessibility time limit of 20 years – with individual time limits dependent on the type of archive material up to 250 years – see: [Availability time limits on records. \(sa.dk\)](#)  
Anyone can apply for access in relation to the abovementioned time limits.



## Interface areas

**Agreements entered into with Head of Department or School regarding funds for special activities (competency development, travel expenses exceeding your own research travel funds, sizeable purchases etc.)**

- ✓ Is filed by Head of Department or School

### **Dialogue with TTO**

- ✓ TTO files relevant material from dialogues with AU-employees

## Union representative, functions (coordinator, Research Programme Director)

**Does the union representative's job handling fall within the obligation to file?**

- ✗ The union representative handles jobs on behalf of the union, and therefore the job handling does not fall within the obligation to file at AU. They can find guidelines on how to handle personal data at AU Information Security: [Especially for union representatives \(au.dk\)](#)

### **The work of academic coordinators**

- ✗ This is actual administration, which does not fall within the obligation to file



### **Do research programmes fall within the obligation to file?**

- ✓ Yes, all agreement material in connection with granting of seed funding and the like as well as agreements with speakers must be filed. Likewise with conferences under the auspices of the research programme.