

WorkZone Quick Guide for Researchers at the Faculty of Arts

Filing cases in WorkZone

The general principles with regard to when documents must be filed in WorkZone are outlined below.

What is a case?

You can compare a case to a physical folder in which you keep all the documents, mails, notes etc. that you need to archive in order to accomplish a task/finish a project. For every task/project, a case must be created.

In which instances should a case be created?

It is your responsibility to create cases. Please do this by contacting a member of your support staff.

If you can answer yes to one of these questions, a case must be created (**see also the appendix at the end of this document**):

1. Have you made a decision to enter into an external cooperation with authorities, companies, interest groups or the like?
2. Have you performed public-sector services?
3. Are you working on a research application or entering into a formal agreement?
4. Have you provided advice or functioned as an expert witness (or are you going to do this)?
5. Have you entered into relations of contractual status, e.g. in connection with purchasing, lending of equipment or analytical work?
6. Have you applied for permission or approval from public authorities (or are you going to do this)?

You will subsequently be notified by your support staff when the case has been created and is available for filing via Outlook. You will be contacted when the case has been created.

Which documentation or files should be saved with the case in WorkZone?

Please note that only mails/documents relating to the administrative work in a research project must be filed. Data procured in the research process does not need to be saved in WorkZone. Other rules apply for research data.

This means that researchers must file relevant incoming and outgoing correspondence/mails as well as finished internal documents, e.g. agendas and minutes of meetings, research applications, incoming contracts and formal agreements, as well as essential/business-critical documents, and the associated internal correspondence (but not correspondence about meeting times, refreshments etc.). Your local support staff are always happy to help you to file material which is not in Outlook.

There is a duty to record information that you receive or give verbally and which may be of importance for the case. As the person responsible for the case, you must therefore write a note which is saved with the case (for instance by sending an email to yourself and saving it with the case. The subject field of the email should be indicative of the content of the mail, as

the subject field will be the document title in the filing system). You can also ask the person you have discussed the case with to add a comment, ensuring that both parties agree on the content.

If you are in doubt whether something should be saved, ask yourself the following questions:

1. Is this information relevant for the case?
2. Is it possible that a colleague or I will need this information later?
3. Will this information be important if a reporter is given subject access (for instance)?

If you can answer yes to one of these questions, the information must be filed.

How often should I file?

AU has decided, as a matter of security, that employees at AU can keep *sensitive and confidential personal data* only as long as it is relevant for the case in question and no longer than 30 days (this does not apply to WorkZone, which is GDPR-compliant).

Mails should therefore in general be saved as soon as possible in WorkZone upon receipt/sending. It is good public administration practice to file mails continually as you send and receive them. If you have a substantial mail thread regarding the same topic with the same recipient, you need only file the last received/sent mail. (However, this is not something you always know in advance). NB! Make up your mind as to whether files attached to the mail should also be filed. If attachments do not need to be saved, it is possible to remove the check mark next to the documents in the dialogue box when the mail is saved.

Please note that people outside AU can get access to and read our mails if they apply for subject access. So it is a good idea to express yourself carefully. Private messages should be sent without becoming attached to cases in WorkZone.

Who can see my cases in WorkZone?

When a case has been created in WorkZone, it is *as a rule* open to everyone at AU. But please note that people can only access cases which are relevant in a work-related connection, and that all access to WorkZone is logged. If people read cases which are not relevant for their tasks, this is associated with official responsibility and may result in disciplinary action. It is therefore safe to file your cases.

It may also comfort you to know that the access rights to cases can be restricted. Your support staff know which reading rights can be attached to cases at your school, and can set this up when cases are created. Different schools may have different guidelines relating to reading access.

Help

If you have any questions about how to file cases via Outlook, please ask your support staff. If necessary, your support staff will contact a super user or the HR IT support staff on your behalf. You are also always welcome to contact your local super user yourself. You find them here: [Super users at ARTS](#).

Appendix

Overview of cases that must be filed (the list is not exhaustive)

Case	What should be saved with the case
Visits from external parties	Programme, visit agreement, relevant correspondence in connection with visit
Data-processing agreements	Data-processing agreements, transmission statements
Research applications for funds, grants and awards	Applications, recommendations, case processing and decisions
Research projects with external financing	Grant letter, application, budget, approval of changes from funder, reports, budget changes, relevant correspondence
Cooperation agreements with external parties	Agreements, contracts (draft and final version), relevant correspondence
Contracts on purchasing and loan of equipment	Contract and relevant correspondence
Participation in formal Danish councils and committees	Recommendations, agendas, appendices, minutes, relevant correspondence
Participation in international committees, memberships and networks	Recommendations, agendas, appendices, minutes, relevant correspondence
Enquiries from authorities	Incoming mails, replies to enquiries
Enquiries from companies, organisations and private individuals	Incoming mails, replies to enquiries
Conferences organised by AU	Agreements with speakers, budgets, programme, reports, approval for videos for the AU website