



Scottish Biometrics
Commissioner
Coimiseanair
Biometrics na h-Alba

SCOTTISH BIOMETRICS COMMISSIONER'S GUIDANCE, BASED ON SCOTTISH GOVERNMENT FILE TYPE GUIDANCE



Safeguarding our biometric future

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Accounts Payable

File Information

Filename:	Topic The subject that the goods and services is related to	Type Receipts and invoices	Time Year file opened – year file will be closed
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Location:	Area -	Level 4 Term -	Fileplan Subject Term Dependant on the subject that the goods or services relate to
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Scope:	Documents and records relating to the purchase, receipt and payment of goods and /or services within the Scottish Government
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Destroy 7 years after closure

Filename Example

Scottish Government Legal Directorate (SGLD): Communities Scotland: Legal billing: 2012-2017

Audit

File Information

Filename:	Topic The are/issue that is being audited	Type Audit – Planning and reporting	Time Year file opened – year file will be closed
Filename:	Topic The are/issue that is being audited	Type Audit – working papers	Time Year file opened – year file will be closed

Location:	Area Administration	Level 4 Term Audit assignments	Fileplan Subject Term Internal audit
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Scope:	Documents and records relating to the management of the named audit within the Scottish Government
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Additional Information

Restrictions:	Security Group	The working papers file should be restricted to a security group for the duration of the audit
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 1 year
Second Action: Destroy 6 years after closure

Filename Example

Agriculture, Food and Rural Communities (AFRC): Audit Review: RPID IT Systems (Procurement and Project Management): Planning and Reporting: 2012-2013

Agriculture, Food and Rural Communities (AFRC): Audit Review: RPID IT Systems (Procurement and Project Management): Working Papers: 2012-2013

Budgets

File Information

Filename:	Topic Dependant on file requirement	Type Dependant on file requirement	Time Year file opened – year file will be closed
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Location:	Area Outward facing	Level 4 Term Advice and policy	Fileplan Subject Term Dependant of file requirement. E.g. Sponsoring public bodies, public finance, financial management, Budget (UK) etc
	Area Administration	Level 4 Term Finance	Fileplan Subject Term Dependant on file requirement. E.g. spending review, accounting, budgeting etc

Scope:	Documents and records relating to the planning, agreement and monitoring of the budgets for [a particular area/body of responsibility] within the Scottish Government.
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Additional Information

Restrictions:	Security Group	This file may need a security group used if it contains sensitive financial information e.g. Direct Running Costs and staff salaries
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Destroy 10 years after closure

Filename Example

Budget Monitoring: Infrastructure and Capital Investment: 2012-2017

Business Plans

File Information

Filename:	Topic Business Name	Type Business plans and monitoring OR Management Planning	Time Year file opened and closed
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Location:	Area Administration	Level 4 Term Completed business plans and monitoring	Fileplan Subject Term Corporate Strategy /Business plans
Location:	Area Administration	Level 4 Term	Fileplan Subject Term Operational management / Business units

Scope:	Documents and records relating to management planning for the named business area within the Scottish Government, including plans and strategies, manpower requirements, training, work plans and monitoring
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Additional Information

Restrictions:	Security Group	This file should be restricted to a security group and located in the Administration area under the correct DG
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 1 year
Second Action: Destroy 5 years after closure

Filename Example

Information and Technology Services: Management Planning: 2017

Business Procedures

File Information

Filename:	Topic Scheme/system name	Type Guidance and procedures	Time Year file opened - year file will be closed
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Location:	Area Inward/Outward facing depending on the topic	Level 4 Term Dependant on file purpose	Fileplan Subject Term Dependant on file purpose
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Scope:	Documents and records relating to the business procedures of [business process] within the Scottish Government, including operating instructions and manual
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Additional Information

Restrictions:	Open or Security Group	For guidance and procedure files for divisional procedures they should be placed in the relevant Administration file for the Division, and will be open. For files whose purpose is to record procedures for systems, handling casework, grants etc these files should be open (unless containing sensitive information) and located in the Inward/outward facing area under the relevant topic it refers to
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Physical or Virtual:	Virtual	This file should always be a virtual file
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Disposal

First Action: Close after 5 years
Second Action: Archive 15 years after closure

Filename Examples

Scotland Act Orders: Guidance and procedures: 2012-2017

Consultations

File Information

Filename:	Topic Title of consultation	Type Consultation	Time Year file opened - year file will be closed
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Location:	Area Outward facing	Level 4 Term Advice and policy	Fileplan Subject Term Depends on the policy
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Scope:	Documents and records relating to a consultation exercise
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Additional Information

Restrictions:	None	
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Archive 15 years after closure

Filename Example

Criminal Justice (Scotland) Bill: Carloway Review Consultation: Responses: June: 2012-2017

Correspondence

File Information

Filename:	Topic The subject that the correspondence relates to	Type Correspondence and working papers	Time Year file opened and closed
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Location:	Area Either Administration or Outward Facing dependent on subject	Level 4 Term Advice and policy or equivalent in administration area	Fileplan Subject Term Dependant on the subject matter
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Scope:	Correspondence relating to the SG's policies or position on a specific topic. Use for correspondence of a generally ephemeral nature -eg. Requests for information on policy relating to a specific topic
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 1 year
Second Action: Destroy 5 years after closure

Filename Example

Borders railway: Correspondence and working papers: 2012

Internal Committees

File Information

Filename:	Topic Name of committee	Type Papers and minutes	Time Year file opened - year file will be closed
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Location:	Area Outward Facing or Administration	Level 4 Term Committees and groups	Fileplan Subject Term Dependant on the subject matter
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Scope:	Documents and records pertaining to a specific Committee or Working Group, including terms of reference, agendas, papers, minutes etc). NB: Use for committees whose membership does not extend beyond the Scottish Government and its associated public bodies
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Archive 15 years after closure

Filename Example

Information Management Working Group: Papers and minutes: 2012-2017

Legal Advice Working Papers

File Information

Filename:	Topic Topic of Legal Advice	Type Legal Advice Working Papers	Time Year file opened – year file will closed
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Location:	Area Outward facing	Level 4 Term Advice and policy	Fileplan Subject Term Law - general
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Scope:	Documents and records associated with the formulation of legal advice by the SG solicitors		
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Additional Information

Restrictions:	Security Group	Restricted to SGLD Security Group and their IMSOs
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Destroy 11 years after closure

Filename Example

Data Protection: Legal advice working papers: 2012-2017

Office Administration

File Information

Filename:	Topic DG, Directorate or Division name	Type Administration	Time Year file opened and closed
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Location:	Area Administration	Level 4 Term Relevant DG	Fileplan Subject Term Administration
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Scope:	Auditable documents and records relating to the routine internal management of assets including leave, accommodation, rotas, team meetings, IT, stationery, health and safety and environmental issues that are not otherwise held centrally		
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 1 year
Second Action: Destroy 3 years after closure

Filename Example

Internal Audit: Administration: 2012

Policy

File Information

Filename:	Topic The name of the policy or subject area	Type Advice and policy	Time Year file opened - year file will be closed
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Location:	Area Outward Area	Level 4 Term Advice and policy	Fileplan Subject Term Dependant on the policy
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Scope:	Documents and records relating to development of policy advice on Cabinet Secretariat policies and procedures, including submissions to Ministers, Ministerial views, briefing and support to Ministers in the exercise of their functions, informal research and stakeholder consultation		
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Archive 15 years after closure

Filename Example

Schools: Advice and policy: 2012-2017

Projects

File Information

Filename:	Topic Project Name	Type Project File	Time Year file opened – year file will be closed
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Location:	Area Outward facing or administration	Level 4 Term Depends on project	Fileplan Subject Term Depends on Project
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Scope:	Documents and records relating to the formal definition (PID), approval, control and assessment of a project. Includes documents such as project mandate, brief, project plan, resource plan, quality plan, communications strategy, project board minutes and format reports to the project board (or equivalent body)		
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical.
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Disposal

First Action: Close after 5 years
Second Action: Archive 15 years after closure

Filename Example

eRDM Upgrade: Project File: 2012-2017

Procurement

File Information

Filename:	Topic Name and Type of Procurement	Type Contracts: Central Procurement	Time Year file opened – year file will be closed
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Location:	Area Divisional	Level 4 Term Contracts	Fileplan Subject Central Procurement
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Scope:	Documents and records relating to the management and processing of contracts – central procurement cases		
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Additional Information

Restrictions:	Division	Commercial in Confidence. Restricted to General (SPD) Division (object ID gA700) and General SPD IMSO Group (object ID gA926)
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Physical or Virtual:	Virtual	
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Disposal

First Action: Close after 5 years
Second Action: Destroy 10 years after closure

Filename Examples

Contracts: Central Procurement: Courier Service Contract: 2016-2021

Published Research

File Information

Filename:	Topic Research Description Name	Type Published Research	Time Year file opened – year file will be closed
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Location:	Area Outward facing	Level 4 Term Research and analysis	Fileplan Subject Term Dependant on research topic
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Scope:	Documents and records relating to the publication of formal research, statistical and other general information relating to a particular research topic
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should not be a requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Destroy 5 years after closure

Filename Example

Arts and Employability: Published research: 2012-2017

Complaints Formal Investigations Casework

File Information

Filename:	Topic Complaints	Type Name of complainer	Time Year file opened – year file will be closed
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Location:	Area Outward facing	Level 4 Term Casework	Fileplan Term External Communications	Subject
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Scope:	Documents and records relating to a complaint which has been raised
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Additional Information

Restrictions:	Security Group	Sensitive personal information will be restricted.
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Physical or Virtual:	Virtual	There should not be a requirement for this file to be physical
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Disposal

First Action: Close after 1 year
Second Action: Destroy 7 years after closure

Filename Example

Complaints: John Smith complaint: November 2017

Contract Casework

File Information

Filename:	Topic Legal	Type Contracts	Time Year file opened – year file will be closed
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Location:	Area Outward facing	Level 4 Term Casework	Fileplan Subject Subject dependant
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Scope:	Documents and records relating to framework contract documents.
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should not be a requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Destroy 20 years after closure

Filename Examples

IT Contract: Contract Documentation: 2018-2023

Information Management Casework

File Information

Filename:	Topic Information Management	Type Topic Specific – e.g. records management or library or eRDM	Time Year file opened – year file will be closed
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Location:	Area Administration	Level 4 Term Casework	Fileplan Subject Term Depends on topic for example Information Management: Records Management
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Scope:	Documents and records relating to information management casework
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Additional Information

Restrictions:	None
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Physical or Virtual:	Virtual	There should be no requirement for this file to be physical
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Disposal

First Action: Close after 5 years
Second Action: Destroy 5 years after closure

Filename Example

eRDM Operations: Change Requests: 2017-2022