



Scottish Biometrics  
Commissioner  
Coimiseanair  
Biometrics na h-Alba

# SCOTTISH BIOMETRICS COMMISSIONER

## FILE TYPE GUIDANCE

### BASED ON SCOTTISH GOVERNMENT GUIDANCE



*Safeguarding our biometric future*



## Status control

Version	Date	Status	Author	Reason for amendment
1.0	August 2022	Initial Final	Cheryl Glen	
2.0	January 2023	Final	Cheryl Glen	Updated contents



## File Type Guidance – Table of Contents

[Audit](#)

[Audit & Assurance Management](#)

[Budgets](#)

[Business Plans](#)

[Business Procedures](#)

[Consultations](#)

[Correspondence](#)

[Internal Committees](#)

[Legal Advice Working Papers](#)

[Office Administration](#)

[Policy](#)

[Projects](#)

[Public Bodies Plans & Strategies](#)

[Public Bodies Setting Up](#)

[Published Research](#)

[Procurement](#)

[Complaints Formal Investigations Casework](#)

[Contract Casework](#)

[Information Management Casework](#)



**Audit**

**File Information**

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

<b>Location:</b>	<b>Area</b> Administration	<b>Level 4 Term</b> Audit assignments	<b>Fileplan Subject Term</b> Internal audit
------------------	-------------------------------	--	--

<b>Scope:</b>	Documents and records relating to the management of the named audit within the Scottish Government
---------------	--

**Additional Information**

<b>Restrictions:</b>	Security Group	The working papers file should be restricted to a security group for the duration of the audit
----------------------	----------------	--

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical
-----------------------------	---------	---

**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*



## Audit and Assurance Management

### File Information

<b>Filename:</b>	<b>Topic</b> Internal Audit	<b>Type</b> Project work/issue relating to management of internal audit and assurance	<b>Time</b> Date file opened- date file due to close
------------------	--------------------------------	--	--

<b>Location:</b>	<b>Area</b> Administration	<b>Level 4 Term</b> Audit assignments	<b>Fileplan Subject Term</b> Internal audit
------------------	-------------------------------	--	--

<b>Scope:</b>	Documents and records relating to the management of internal audit and assurance within the Scottish Government.		
---------------	--	--	--

### Additional Information

<b>Restrictions:</b>	Security Group	These files will likely be restricted to those who are involved in the work.
----------------------	----------------	--

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical.
-----------------------------	---------	--

### Disposal

**First Action:** Close after 3 years

**Second Action:** Destroy 3 years after closure

### Filename Example

**Internal Audit: UK Internal Audit Board: 2022-2025**



**Budgets**

**File Information**

<b>Filename:</b>	<b>Topic</b> Dependant on file requirement	<b>Type</b> Dependant on file requirement	<b>Time</b> Year file opened – year file will be closed
------------------	---	--	--

<b>Location:</b>	<b>Area</b> Outward facing	<b>Level 4 Term</b> Advice and policy	<b>Fileplan Subject Term</b> Dependant of file requirement. E.g. Sponsoring public bodies, public finance, financial management, Budget (UK) etc
	<b>Area</b> Administration	<b>Level 4 Term</b> Finance	<b>Fileplan Subject Term</b> Dependant on file requirement. E.g. spending review, accounting, budgeting etc

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

**Additional Information**

<b>Restrictions:</b>	Security Group	This file may need a security group used if it contains sensitive financial information e.g. Direct Running Costs and staff salaries.
----------------------	----------------	---

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical.
-----------------------------	---------	--

**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

<b>Filename:</b>	<b>Topic</b> Business Name	<b>Type</b> Business plans and monitoring OR Management Planning	<b>Time</b> Year file opened and closed
------------------	-------------------------------	---	--

<b>Location:</b>	<b>Area</b> Administration	<b>Level 4 Term</b> Completed business plans and monitoring	<b>Fileplan Subject Term</b> Corporate Strategy /Business plans
<b>Location:</b>	<b>Area</b> Administration	<b>Level 4 Term</b>	<b>Fileplan Subject Term</b> Operational management / Business units

<b>Scope:</b>	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.
---------------	---

### Additional Information

<b>Restrictions:</b>	Security Group	This file should be restricted to a security group and located in the Administration area under the correct DG.
----------------------	----------------	---

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical.
-----------------------------	---------	--

### 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

<b>Filename:</b>	<b>Topic</b> Scheme/system name	<b>Type</b> Guidance and procedures	<b>Time</b> Year file opened - year file will be closed
------------------	------------------------------------	--	--

<b>Location:</b>	<b>Area</b> Inward/Outward facing depending on the topic	<b>Level 4 Term</b> Dependant on file purpose	<b>Fileplan Subject Term</b> Dependant on file purpose
------------------	---	--	---

<b>Scope:</b>	Documents and records relating to the business procedures of [business process] within the Scottish Government, including operating instructions and manual
---------------	---

### Additional Information

<b>Restrictions:</b>	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
----------------------	------------------------	--

<b>Physical or Virtual:</b>	Virtual	This file should always be a virtual file
-----------------------------	---------	---

### 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

<b>Filename:</b>	<b>Topic</b> Title of consultation	<b>Type</b> Consultation	<b>Time</b> Year file opened - year file will be closed
------------------	---------------------------------------	-----------------------------	--

<b>Location:</b>	<b>Area</b> Outward facing	<b>Level 4 Term</b> Advice and policy	<b>Fileplan Subject Term</b> Depends on the policy
------------------	-------------------------------	--	--

<b>Scope:</b>	Documents and records relating to a consultation exercise.
---------------	--

### Additional Information

<b>Restrictions:</b>	None	
----------------------	------	--

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical.
-----------------------------	---------	--

### 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**

<b>Filename:</b>	<b>Topic</b> The subject that the correspondence relates to	<b>Type</b> Correspondence and working papers	<b>Time</b> Year file opened and closed
------------------	--	--	--

<b>Location:</b>	<b>Area</b> Either Administration or Outward Facing dependent on subject.	<b>Level 4 Term</b> Advice and policy or equivalent in administration area	<b>Fileplan Subject Term</b> Dependant on the subject matter
------------------	--	---	---

<b>Scope:</b>	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.
---------------	--

**Additional Information**

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical.
-----------------------------	---------	--

**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**

<b>Filename:</b>	<b>Topic</b> Name of committee	<b>Type</b> Papers and minutes	<b>Time</b> Year file opened - year file will be closed
------------------	-----------------------------------	-----------------------------------	--

<b>Location:</b>	<b>Area</b> Outward Facing or Administration	<b>Level 4 Term</b> Committees and groups	<b>Fileplan Subject Term</b> Dependant on the subject matter
------------------	--	---	--

<b>Scope:</b>	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.
---------------	--

**Additional Information**

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical
-----------------------------	---------	---

**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

<b>Filename:</b>	<b>Topic</b> Topic of Legal Advice	<b>Type</b> Legal Advice Working Papers	<b>Time</b> Year file opened – year file will closed
------------------	---------------------------------------	---	--

<b>Location:</b>	<b>Area</b> Outward facing	<b>Level 4 Term</b> Advice and policy	<b>Fileplan Subject Term</b> Law - general
------------------	-------------------------------	--	---

<b>Scope:</b>	Documents and records associated with the formulation of legal advice by the SG solicitors.		
---------------	---	--	--

### Additional Information

<b>Restrictions:</b>	Security Group	Restricted to SGLD Security Group and their IMSOs
----------------------	----------------	---

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical
-----------------------------	---------	---

### Disposal

<b>First Action:</b>	Close after 5 years
<b>Second Action:</b>	Destroy 11 years after closure

### Filename Example

*Data Protection: Legal advice working papers: 2012-2017*



## Office Administration

### File Information

<b>Filename:</b>	<b>Topic</b> DG, Directorate or Division name	<b>Type</b> Administration	<b>Time</b> Year file opened and closed
------------------	---	-------------------------------	---

<b>Location:</b>	<b>Area</b> Administration	<b>Level 4 Term</b> Relevant DG	<b>Fileplan Subject Term</b> Administration
------------------	-------------------------------	------------------------------------	--

<b>Scope:</b>	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.		
---------------	---	--	--

### Additional Information

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical
-----------------------------	---------	---

### Disposal

<b>First Action:</b>	Close after 1 year
<b>Second Action:</b>	Destroy 3 years after closure

### Filename Example

***Internal Audit: Administration: 2012***



**Policy**

**File Information**

<b>Filename:</b>	<b>Topic</b> The name of the policy or subject area	<b>Type</b> Advice and policy	<b>Time</b> Year file opened - year file will be closed
------------------	--	----------------------------------	--

<b>Location:</b>	<b>Area</b> Outward Area	<b>Level 4 Term</b> Advice and policy	<b>Fileplan Subject Term</b> Dependant on the policy
------------------	-----------------------------	--	---

<b>Scope:</b>	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		
---------------	--	--	--

**Additional Information**

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical
-----------------------------	---------	---

**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

<b>Filename:</b>	<b>Topic</b> Project Name	<b>Type</b> Project File	<b>Time</b> Year file opened – year file will be closed
------------------	------------------------------	-----------------------------	--

<b>Location:</b>	<b>Area</b> Outward facing or administration	<b>Level 4 Term</b> Depends on project	<b>Fileplan Subject Term</b> Depends on Project
------------------	--	---	--

<b>Scope:</b>	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)		
---------------	---	--	--

### Additional Information

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical.
-----------------------------	---------	--

### Disposal

<b>First Action:</b>	Close after 5 years
<b>Second Action:</b>	Archive 15 years after closure

### Filename Example

*eRDM Upgrade: Project File: 2012-2017*



**Public Bodies Plans and Strategies**

**File Information**

<b>Filename:</b>	<b>Topic</b> Name of Public Body	<b>Type</b> Plans and Strategies	<b>Time</b> Year file opened – year file will be closed
------------------	-------------------------------------	-------------------------------------	--

<b>Location:</b>	<b>Area</b> Outward Facing	<b>Level 4 Term</b> Sponsoring Public Bodies	<b>Fileplan Subject Term</b> Topic of Public Body
------------------	-------------------------------	--	--

<b>Scope:</b>	Documents and records relating to the development, approval and promulgation of plans and strategies relating to a public body (directly-supported public body whose functions primarily relate to a particular subject/area)
---------------	---

**Additional Information**

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical.
-----------------------------	---------	--

**Disposal**

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

**Filename Example**

*National Crime Agency: Plans and strategies: 2012-2017*





## Public Bodies Setting Up

### File Information

<b>Filename:</b>	<b>Topic</b> Name of Public Body	<b>Type</b> Setting Up	<b>Time</b> Year file opened – year file will be closed
------------------	-------------------------------------	---------------------------	--

<b>Location:</b>	<b>Area</b> Outward facing	<b>Level 4 Term</b> Sponsoring public bodies	<b>Fileplan Subject Term</b> Topic of Public Body
------------------	-------------------------------	--	--

<b>Scope:</b>	Documents and records relating to the setting up of a public body (directly supported public body whose functions primarily relate to a particular subject), including agreement of objectives; approval of initial plans and strategies; approval of initial budgets and first round appointments.
---------------	---

### Additional Information

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for a physical file.
-----------------------------	---------	---

### Disposal

<b>First Action:</b>	Close after 5 years
<b>Second Action:</b>	Archive 15 years after closure

### Filename Example

*Scottish Health Council: Setting up: 2012-2017*



## Published Research

### File Information

<b>Filename:</b>	<b>Topic</b> Research Description Name	<b>Type</b> Published Research	<b>Time</b> Year file opened – year file will be closed
------------------	--	-----------------------------------	--

<b>Location:</b>	<b>Area</b> Outward facing	<b>Level 4 Term</b> Research and analysis	<b>Fileplan Subject Term</b> Dependant on research topic
------------------	-------------------------------	--	--

<b>Scope:</b>	Documents and records relating to the publication of formal research, statistical and other general information relating to a particular research topic.
---------------	--

### Additional Information

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should not be a requirement for this file to be physical.
-----------------------------	---------	---

### Disposal

<b>First Action:</b>	Close after 5 years
<b>Second Action:</b>	Destroy 5 years after closure

### Filename Example

*Arts and Employability: Published research: 2012-2017*



## Procurement

### File Information

<b>Filename:</b>	<b>Topic</b> Name and Type of Procurement	<b>Type</b> Contracts: Central Procurement	<b>Time</b> Year file opened – year file will be closed
------------------	--	--	--

<b>Location:</b>	<b>Area</b> Divisional	<b>Level 4 Term</b> Contracts	<b>Fileplan Subject</b> Central Procurement
------------------	---------------------------	----------------------------------	--

<b>Scope:</b>	Documents and records relating to the management and processing of contracts – central procurement cases		
---------------	--	--	--

### Additional Information

<b>Restrictions:</b>	Division	Commercial in Confidence. Restricted to General (SPD) Division (object ID gA700) and General SPD IMSO Group (object ID gA926)
----------------------	----------	---

<b>Physical or Virtual:</b>	Virtual	
-----------------------------	---------	--

### Disposal

**First Action:** Close after 5 years

**Second Action:** Destroy 10 years after closure

### Filename Examples

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



## Complaints Formal Investigations Casework

### File Information

<b>Filename:</b>	<b>Topic</b> Complaints	<b>Type</b> Name of complainer	<b>Time</b> Year file opened – year file will be closed
------------------	----------------------------	-----------------------------------	--

<b>Location:</b>	<b>Area</b> Outward facing	<b>Level 4 Term</b> Casework	<b>Fileplan Subject Term</b> External Communications
------------------	-------------------------------	---------------------------------	--

<b>Scope:</b>	Documents and records relating to a complaint which has been raised.
---------------	--

### Additional Information

<b>Restrictions:</b>	Security Group	Sensitive personal information will be restricted.
----------------------	----------------	--

<b>Physical or Virtual:</b>	Virtual	There should not be a requirement for this file to be physical.
-----------------------------	---------	---

### Disposal

<b>First Action:</b>	Close after 1 year
<b>Second Action:</b>	Destroy 7 years after closure

### Filename Example

*Complaints: John Smith complaint: November 2017*



## Contract Casework

### File Information

<b>Filename:</b>	<b>Topic</b> Legal	<b>Type</b> Contracts	<b>Time</b> Year file opened – year file will be closed
------------------	-----------------------	--------------------------	---

<b>Location:</b>	<b>Area</b> Outward facing	<b>Level 4 Term</b> Casework	<b>Fileplan Subject</b> Subject dependant
------------------	-------------------------------	---------------------------------	--

<b>Scope:</b>	Documents and records relating to framework contract documents.
---------------	---

### Additional Information

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should not be a requirement for this file to be physical
-----------------------------	---------	--

### 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**

<b>Filename:</b>	<b>Topic</b> Information Management	<b>Type</b> Topic Specific – e.g. records management or library or eRDM	<b>Time</b> Year file opened – year file will be closed
------------------	--	--	--

<b>Location:</b>	<b>Area</b> Administration	<b>Level 4 Term</b> Casework	<b>Fileplan Subject Term</b> Depends on topic for example Information Management: Records Management
------------------	-------------------------------	---------------------------------	---

<b>Scope:</b>	Documents and records relating to information management casework
---------------	---

**Additional Information**

<b>Restrictions:</b>	None
----------------------	------

<b>Physical or Virtual:</b>	Virtual	There should be no requirement for this file to be physical
-----------------------------	---------	---

**Disposal**

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

**Filename Example**

*eRDM Operations: Change Requests: 2017-2022*