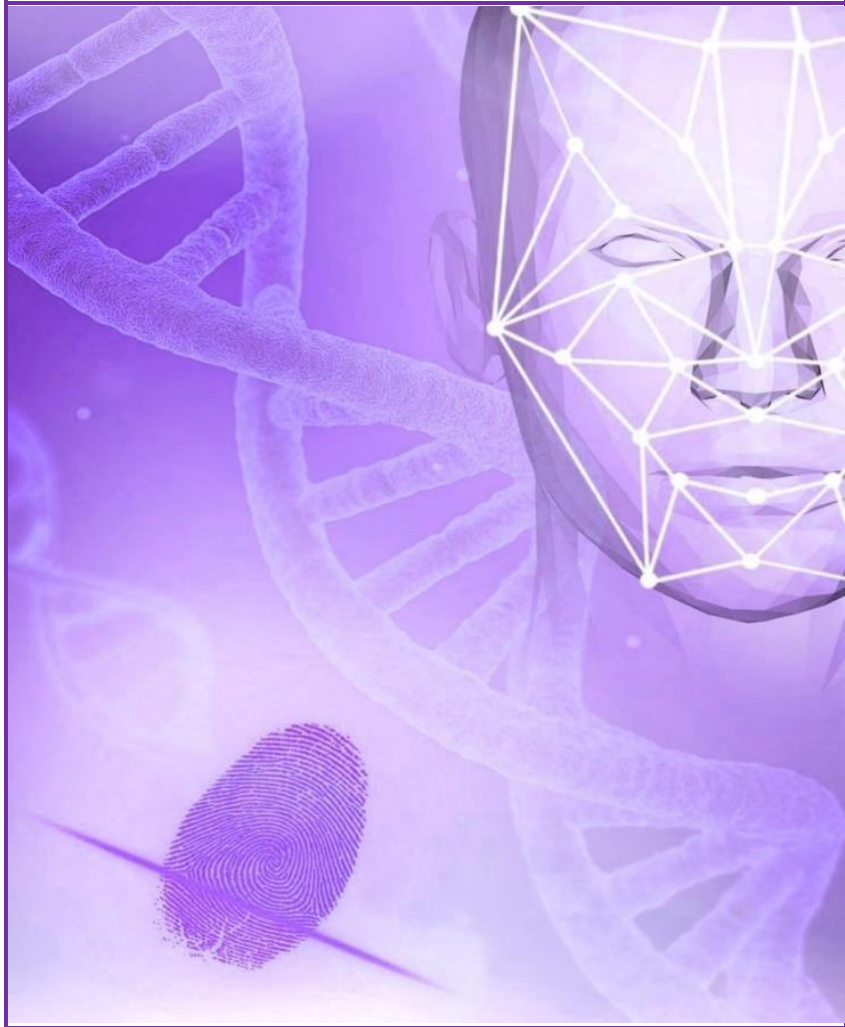




Scottish Biometrics
Commissioner
Coimiseanair
Biometrics na h-Alba



Scottish Biometrics Commissioner

eRDM File Plan

Version 4 December 2024

Safeguarding our biometric future



Status control

| Version | Date | Status | Author | Reason for amendment |
|---------|---------------|---------------|---------------|--|
| 1.0 | 21 July 2021 | Initial Final | Brian Plastow | |
| 1.1 | August 2022 | Draft | Cheryl Glen | <ul style="list-style-type: none">Reformatted the document to follow corporate SBC styleUpdated table – Main Records FoldersUpdated screenshot of File Plan included |
| 2.0 | January 2023 | Final | Cheryl Glen | <ul style="list-style-type: none">Updated text throughout documentUpdated table – Main Records FoldersUpdated screenshot of File Plan included |
| 3 | February 2024 | Final | Cheryl Glen | <ul style="list-style-type: none">Updated text throughoutUpdated and reordered table – Main Records Folders |
| 4 | December 2024 | Final | Cheryl Glen | <ul style="list-style-type: none">Updated table – Main Records FoldersUpdated screenshot of File Plan included |

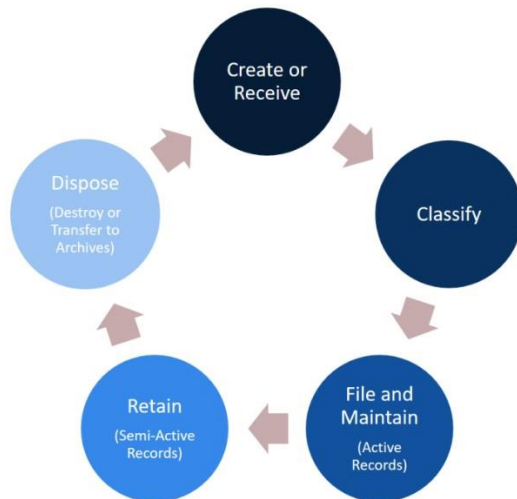


Introduction

The purpose of this document is to set out a roadmap listing the different records to be maintained by the office of the Scottish Biometrics Commissioner. This File Plan list different records maintained by function. Understanding the File Plan will assist users in knowing where to file and retrieve the records needed to complete tasks.

The life cycle of a Record

Records follow a natural life cycle. Upon creation, records should be classified according to function so that they can be filed in a digital record keeping system and retrieved where necessary. Records will not be retained indefinitely and will follow pre-determined disposition in accordance with Scottish Government records management policies for eRDM. The life cycle is illustrated as follows:





Function-based File Plans

Classifying records by function provides the best method to organise business records. Function-based file plans organise records based directly on the work that an office performs to fulfil its functions. Instead of organising records by what they are about (subject- or topic-based file plans), or who created them (position-based file plans), function-based file plans answer the fundamental question of why records are created and used by classifying them based on work processes. Function-based file plans are also stable and long-lasting. Subjects and positions can change frequently, but what an office does (its functions) generally stay the same over time.

eRDM File Plan

The schematic on the following page sets out the architecture for the File Plan for the Scottish Biometrics Commissioner within eRDM and a document naming convention. This has since been adapted by staff based on experience of what works best in practice.

Excluded data

The Scottish Biometrics Commissioner when conducting audits, inspections, or reviews of biometric data records held by one of the bodies to whom the Commissioner's jurisdiction extends **will not under any circumstances replicate any personal biometric data onto eRDM**. Where review notes are taken as part of an audit, review, or inspection of such bodies, or as part of the investigation of a complaint relating to the Code of Practice, those notes will be destroyed immediately once the factual accuracy of the content of any report has been agreed with relevant stakeholders and our findings report published.

Conclusion

The File Plan is designed in such a way that it will remain relevant in future. The File Plan will avoid the proper names of current office holders. The File Plan will be reviewed at least once per year to make sure that all office functions and activities are covered and accurate. An authoritative version of the File Plan will also be stored for ease of reference.



| Main Record Folders | 1. Strategic Planning | 2. Corporate functions | 3. Operational functions |
|--------------------------------------|--|---|--|
| | ↓ | ↓ | ↓ |
| Sub – Files under main folder | <ul style="list-style-type: none"> ▪ Annual accounts financial documentation ▪ Annual reports ▪ Assessment Framework ▪ Budget bids ▪ Business plans ▪ Certificate of Assurance Statements ▪ Code of Practice ▪ Governance ▪ Legal ▪ News releases ▪ Other parliamentary submissions ▪ Quarterly newsletters ▪ Strategic plans | <ul style="list-style-type: none"> ▪ AAB minutes ▪ Advisory Group minutes ▪ Asset register ▪ Audit reports ▪ Budget monitoring ▪ Business Continuity ▪ Data protection ▪ FOI model publication scheme guidance ▪ Health & Safety ▪ ICT contracts ▪ Internal Audit ▪ Management & Strategic Team meetings ▪ Model Complaint Handling Procedure ▪ NRS Records Management Plan (RMP) ▪ Office set up ▪ Procurement ▪ Property & insurance ▪ Publishing services ▪ Risk management ▪ Website contract | <ul style="list-style-type: none"> ▪ Code of Practice Compliance Self-assessments ▪ Commissioned research ▪ Complaints procedure consultation ▪ Complaints received re Code ▪ Consultations ▪ Correspondence (Strategic) ▪ Determinations by Commissioner ▪ FOI and Subject Access requests ▪ General complaints ▪ Improvement notices ▪ Information notices ▪ MOU's ▪ Operational work |



Document naming convention

All documents created and maintained within eRDM should follow Scottish Government eRDM training and guidance so that our records provide a ‘single source of truth’ to assist with effective records management and to ensure that we comply fully with statutory obligations around records management and freedom of information. The initial draft of any document will be version 0.1 and the first final version will be 1.0. If in doubt, staff should consult the on-line eRDM guidance which should be saved to the ‘Handy’ folder of eRDM.



Figure No 1: Version Control (Source: National Records of Scotland)

Document name elements / naming conventions

All documents should be named to a **consistent formula of 4 component parts** that makes records easy to find and retrieve. The following example used by the National Records of Scotland illustrates best practice. For example, for correspondence and documents the naming convention should include:

Correspondence

| | | | |
|------------------|-------------------------------|------|---------------|
| Reference number | Topic & name of correspondent | Date | Document type |
|------------------|-------------------------------|------|---------------|

Documents

| | | | |
|---------|------|------------------|---------|
| Subject | Date | Type of document | Version |
|---------|------|------------------|---------|

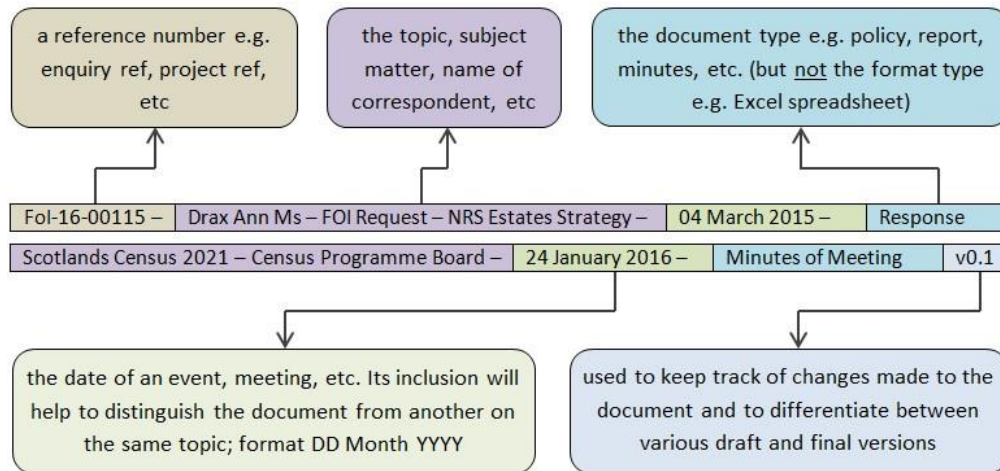


Figure No 2: Document naming conventions (Source: National Records of Scotland)

Examples

Correspondence

| | | | |
|----------|---|---------------|----------|
| ICO-0249 | Letter of response from SBC to Information Commissioner (ICO) – Following appointment | 16 April 2021 | Response |
|----------|---|---------------|----------|

Documents

| | | | |
|----------------------|--------------|-------------------------|-------|
| SBC – eRDM File Plan | 21 July 2021 | List of folders & files | V 1.0 |
|----------------------|--------------|-------------------------|-------|