



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	
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File Type Guidance – Table of Contents

[Audit & Assurance Management](#)

[Budgets](#)

[Business Procedures](#)

[Casework](#)

[Consultations](#)

[Contract Casework](#)

[Information Management Casework](#)

[Internal Committees](#)

[Legal Advice Working Papers](#)

[Policy](#)

[Projects](#)

[Public Bodies Plans & Strategies](#)

[Published Research](#)

[Public Bodies Setting Up](#)



Audit and Assurance Management

File Information

Filename:	Topic Internal Audit	Type Project work/issue relating to management of internal audit and assurance	Time Date file opened- date file due to close
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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 internal audit and assurance within the Scottish Government.		
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Additional Information

Restrictions:	Security Group	These files will likely be restricted to those who are involved in the work.
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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 3 years

Second Action: Destroy 3 years after closure

Filename Example

Internal Audit: UK Internal Audit Board: 2022-2025



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 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



Casework

File Information

Filename:	Topic Include topic	Type Casework	Time Year file opened – year file will close
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Location:	Area Outward Area	Level 4 Term Casework	Fileplan Subject Term Dependant on topic
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Scope:	Documents and records relating to 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 10 years after closure

Filename Example

Rail Transport: External Requests Register: 2010-2015



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



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



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



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



Public Bodies Plans and Strategies

File Information

Filename:	Topic Name of Public Body	Type Plans and Strategies	Time Year file opened – year file will be closed
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Location:	Area Outward Facing	Level 4 Term Sponsoring Public Bodies	Fileplan Subject Term Topic of Public Body
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Scope:	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)
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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

National Crime Agency: Plans and strategies: 2012-2017



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



Public Bodies Setting Up

File Information

Filename:	Topic Name of Public Body	Type Setting Up	Time Year file opened – year file will be closed
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Location:	Area Outward facing	Level 4 Term Sponsoring public bodies	Fileplan Subject Term Topic of Public Body
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Scope:	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
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Additional Information

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

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

Filename Example

Scottish Health Council: Setting up: 2012-2017