



Scottish Government
Riaghaltas na h-Alba
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Scottish Government File Type Guidance

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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

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

Audit – EU Programmes

File Information

Filename:	Topic The area/issue that is being audited	Type Audit – Planning and reporting	Time Year file opened – year file will be closed
Filename:	Topic The area/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 named EU audit programmes in line with their regulations.
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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 5 years

Second Action: Review 5 years after closure

Filename Example

Agriculture Audit Review: EU Programme: Planning and Reporting: 2020-2025

Agriculture Audit Review: EU Programme: Working Papers: 2020-2025

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 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
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Location:	Area Administration	Level 4 Term	Fileplan Subject Term Operational management / Business units
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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

Delete

File Information

Filename:	Topic eRDM Operations	Type Documents for deletion	Time Month and year file opened and closed
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Location:	Area Administration	Level 4 Term Policies and procedures	Fileplan Subject Term Information management – records management
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Scope:	File created to store duplicate documents/documents created in error which will be removed from objective following bulk document deletion.		
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Additional Information

Restrictions:	Security Group	Restricted to RMT Group – no other users can access these files unless they are the owner of a specific document in the file
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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 month
Second Action: Destroy 1 month after closure

Filename Example

eRDM Operations: Documents For Deletion: Sept 2012

Draft Research

File Information

Filename:	Topic Draft Research Name	Type Draft Research	Time Year file opened and closed
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Location:	Area Inward/Outward facing depending on the topic	Level 4 Term Research and analysis	Fileplan Subject Dependant on research topic
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Scope:	Documents and records relating to draft 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	This file should always be a virtual file.
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Disposal

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

Filename Examples

Housing Statistics: Draft Research: 2017

Email Store

File Information

Filename:	Topic User Name	Type Email Storage	Time Year file opened and closed
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Location:	Area Administration	Level 4 Term Email Storage Files	Fileplan Subject Term Operational Management/Email Storage
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Scope:	To hold copies of e-mails for ease of reference for senior members of staff.		
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Additional Information

Restrictions:	Security Group	Restricted to a security group for user and individual who provides them with administrative support.
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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 2 years after closure

Filename Example

Joe Bloggs: Email storage: 2012

External 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	Level 4 Term Committees and groups	Fileplan Subject Term Dependant on the subject
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Scope:	Documents and records pertaining to XXX Committee or Working Group, including terms of reference, agendas, papers, minutes etc. NB: Use for committees whose membership extends 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 not be a 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

Fuel Poverty Forum: Papers and minutes: 2012-2017

Grant Schemes

File Information

Filename:	Topic Grant name	Type Organisation Name/applicant name	Time Year file opened - year file will be closed
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Location:	Area Outward facing	Level 4 Term Paying grants and subsidies	Fileplan Subject Term Dependant on grant type
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Scope:	Documents and records relating to payment of grants to an organisation/body under [grant name] scheme, including assessment of eligibility, audit and effectiveness measures.		
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Additional Information

Restrictions:	Other	Restrictions may be required especially in cases where the recipient is a person. This model will work for structure grants (for example, European Structural Funds). However, some grants are more ad-hoc and in these situations one file to cover the grant would suffice.
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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: Review on closure

Filename Example

Section 70 grants: Air discount scheme: 2012-2017

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

Ministerial Decisions Backup

File Information

Filename:	Topic Cabinet Secretary/Minister	Type Private Office Decision Archive	Time Year file opened – year file will be closed
Location:	Area Ministerial Private Offices Administration	Level 4 Term Cabinet Secretary/Minister	Fileplan Subject Term Administration
Scope:	These files will contain back-up copies of decisions made by Cabinet Secretaries/Ministers. It should be noted that the original documents will be stored in the appropriate policy area file where they will be transferred to National Records of Scotland at the appropriate future point in time.		

Additional Information

Restrictions:	Security Group	Due to the sensitive content that will be held within these files the expectation is that the files will be restricted to those who require to have access.
Physical Virtual:	or Virtual	There should not be a requirement for this file to be physical.

Disposal

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

Filename Example

**Cabinet Secretary for Education and Skills: Private Office Decision Archive:
2022-2027**

Ministerial Engagements

File Information

Filename:	Topic Lead Topic	Type Ministerial visit Name/details	Time Year file opened and closed
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Location:	Area Outward facing	Level 4 Term Casework	Fileplan Subject Term Depends on lead topic
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Scope:	Documents and records relating to Ministerial engagements, meetings and visits, including briefing material, where those engagements relate to [a particular topic/event/organisation]		
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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

Sport and Physical Activity Policy: Ministerial visit: Hong Kong: September: 2012

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

Parliamentary Questions

File Information

Filename:	Topic Topic of parliamentary question	Type Parliamentary questions (PQs)	Time Year file opened and closed
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Location:	Area Outward facing	Level 4 Term Advice and policy	Fileplan Subject Term Topic of Parliamentary question
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Scope:	Documents and records relating to Scottish Parliamentary questions about a particular 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

Climate Change: Parliamentary Questions (PQs): 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

Primary Legislation

File Information

Filename:	Topic Name of Bill	Type Preliminary consideration and drafting or Cabinet papers and minutes or Accompanying documents or Stage 1 or Stage 2 or Stage 3 or Royal Assent	Time Year file opened – year file will be closed
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Location:	Area Outward facing	Level 4 Term Developing legislation	Fileplan Subject Term Dependant on Bill topic
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Scope:	General scope note - Documents and records relating to the planning, drafting and passage of the bill relating to a specific bill/act. For the Preliminary consideration and drafting file the scope note should be: Documents and records relating to the preliminary discussions around the Bill (e.g. review of policy background, review of purpose). For the Cabinet papers and minutes the scope note should be: All papers and minutes relating to Cabinet proceedings on a specific Bill. For the accompanying documents the scope note should be: Example documents are: financial memorandum; explanatory notes; policy memorandum . For the Stage 1, 2 and 3 files the scope notes should be: Documents and records relating to the first/second/third stage of parliamentary scrutiny. For the Royal Assent file the scope note should be: Documents and records relating to the finalised Act (e.g. copy of act, finalise explanatory notes).
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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

File name Example

Criminal Justice (Scotland) Bill: Stage 3: 2012-2017

Procurement

File Information

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

Restrictions:	Security Group	Contains sensitive information
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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: Procurement: Courier Service Contract: 2016-2021

Procuring Research

File Information

Filename:	Topic Research description/name	Type Contracts: Research procurement	Time Year file opened – year file will be closed
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Location:	Area Administration	Level 4 Term Contracts	Fileplan Subject Term Research procurement
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Scope:	Documents and records relating to the procurement of formal research into a particular research topic/project.		
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Additional Information

Restrictions:	Security Group	This file should be restricted to the relevant people in the specific Analytical Services area and may include some members of the relevant policy area.
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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

Scottish Public Attitudes Survey: Contracts: Research procurement: 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 Administration

File Information

Filename:	Topic Public Body Name	Type Administration	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 general administration of a public body. (directly supported public body whose functions primarily relate to [a particular subject/area])		
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Additional Information

Restrictions:	None	If the file contains personal information (for example staffing issues) it should be restricted, if not the file should be open.
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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: Review on Closure

Filename Example

Scottish Natural Heritage: Administration: 2012-2017

Public Bodies Appointments

File Information

Filename:	Topic Name of Public Body	Type Appointments	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 second and subsequent rounds of appointments to a public body (directly-supported public body whose functions 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: Destroy 15 years after closure

Filename Example

Scottish Law Commission: Appointment of chair: 2012-2017

Public Bodies Monitoring

File Information

Filename:	Topic Name of Public Body	Type Monitoring	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 monitoring of a public body (directly supported public body whose functions primarily relate to [a particular subject/area]), including approval and monitoring of budgets.
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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

NHS Scotland: Monitoring: 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

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

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

Sewel Procedures

File Information

Filename:	Topic Name of Act	Type Parliamentary legislation: Sewel motions	Time Year file opened – year file will be closed
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Location:	Area Outward	Level 4 Term Developing legislation	Fileplan Subject Rail Transport
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Scope:	Documents and records relating to the planning, drafting and development of Sewel Motions (Legislative Consent Motion)
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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: Archive 15 years after closure

Filename Examples

Railways Act 2005: Parliamentary Legislation: Sewel Motions: 2016-2021

Statistics

File Information

Filename:	Topic Title of statistics collected	Type Statistics	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 Dependant on statistical topic
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Scope:	Documents and records relating to the collection of statistics. These files will often hold sensitive data (such as personal or business related) which can also be subject to data access agreements with non-Scottish Government organisations.		
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Additional Information

Restrictions:	None
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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: Review 20 years after closure

Filename Examples

Education: Statistics on School Leavers: 2017-2022

Subordinate Legislation

File Information

Filename:	Topic Bill Name	Type Instrument Name/SSI title: Developing legislation	Time Year file opened – year file will be closed
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Location:	Area Outward facing	Level 4 Term Developing Legislation	Fileplan Subject Term Specific to Bill/SSI topic
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Scope:	Documents and records relating to the planning, drafting and development of Scottish Statutory Instruments (SSI) relating to a particular Bill/Act, including setting of fees.		
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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

Legal Civil: Land Registration etc. (Scotland) Act 2012: Implementation SSIs: 2012-2017