

Surrey County Council Risk Management and Insurance Retention Schedule

Ref No	Description	Legal Basis	Retention	Action at End of Retention	Contains Personal Information	P/M	Notes/Access
RMI1.0	Risk Management	-	-	-	-	-	-
RMI1.0.1	Business Impact Assessments; operational, tactical and strategic	-	Date impact assessment superseded + 6 years	Secure Disposal	N	Official	-
RMI1.0.2	SCC Resilience Plan and associated Policy and Procedures for Adults and Children's Services	-	Date plan superseded + 6 years	Secure Disposal	N	Official	-
RMI1.0.3	Risk Assessments and associated correspondence related to the risk assessment or emergency incident response.	-	Date plan superseded + 6 years	Secure Disposal	N	Official	-
RMI1.0.4	Risk and Partnership registers maintained by individual directorates	-	These will be dynamic documents which are being continually refreshed. A snapshot needs to be taken if the risk/partnership register needs to be produced as part of a major incident investigation.	Secure Disposal	N	Not Protectively Marked	-
RMI1.0.5	Risk Register	-	Closure + 5 years	Secure Disposal	N	Not Protectively Marked	-
RMI2.0	Insurance Claims	-	-	-	-	-	-
RMI2.0.1	Claims made against SCC insurance policies – damage to property	Limitation Act 1980 (Section 2)	Case concluded + 6 years	Secure Disposal	Y	Official	-
RMI2.0.2	Claims made against SCC insurance policies – personal injury	Limitation Act 1980 (Section 11)	Case concluded + 6 years unless the individual is a minor at the time of the claim, then DOB of claimant + 24 years	Secure Disposal	Y	Official	-
RMI2.0.3	Claims management database	Limitation Act 1980 (Section 2)	Case concluded + 6 years then review	Secure Disposal	Y	Official	-
RMI2.0.4	Insurance policies relating to insurance purchased by SCC to cover its activities	Employers Liability/Financial Regulations	Date of expiry of policy + 6 years	Secure Disposal	N	Not Protectively Marked	-
RMI2.0.5	Motor insurance database	-	Life of the vehicle in KCC service	Secure Disposal	N	Official	-
RMI2.0.6	Employer's Liability and Public Liability Insurance Policies	Employers Liability (Compulsory Insurance) Regulations 1998 (5/1-2)	Date of expiry of policy + 40 years	Secure Disposal	N	Not Protectively Marked	-
RMI2.0.7	Files relating to the management of insurable risk across SCC	-	Current year + 3 years then review	Secure Disposal	N	Official	-
RMI3.0	Performance Management	-	-	-	-	-	-
RMI3.0.1	Audit Commission inspection reports	-	Closure + 5 years	Secure Disposal	N	Not Protectively Marked	-
RMI3.0.2	External Audit letter	-	Closure + 5 years	Secure Disposal	N	Not Protectively Marked	-
RMI3.0.3	Value for Money Studies from external audit	-	Closure + 5 years	Secure Disposal	N	Not Protectively Marked	-
RMI3.0.4	Best Value Performance Reviews	-	Closure of file + 5 years	Secure Disposal	N	Not Protectively Marked	-
RMI3.0.5	Adult Social Care Performance Management – system reports	-	Current year + 5 years	Secure Disposal	N	Official	-
RMI3.0.6	Adult Social Care Performance Management – Working papers for reports, briefing notes, proposals etc	-	Current year + 4 years	Secure Disposal	N	Official	-

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RMI3.0.7	Adult Social Care: Information relating to performance indicators and targets	-	Current year + 5 years then review	Secure Disposal	N	Official	-
RMI3.0.8	Survey data collected to monitor performance and obtain feedback about staff and services	-	Current year + 3 years then review	Secure Disposal	Y	Official	-
RMI3.0.9	Key Performance Indicators (KPIs)	-	Current year + 5 years	Secure Disposal	N	Not Protectively Marked	-
RMI3.0.10	HR&OD: Performance and Monitoring: Annual Governance Statement	-	Current year + 5 years then review	Secure Disposal	N	Not Protectively Marked	-
RMI3.0.11	Annual reports for strategic priorities of the council	-	Current year + 6 years	Offer to Archives	N	Not Protectively Marked	-
RMI3.0.12	Regular quarterly performance reports for the council	-	Current year + 6 years	Offer to Archives	N	Not Protectively Marked	-
RMI3.0.13	Spreadsheets used by individual service units to monitor service provision or performance	-	These are intended to be dynamic working documents and will be disposed of once service provision ceases	Secure Disposal	N	Official	-
RMI4.0	Internal Audit	-	-	-	-	-	-
RMI4.0.1	All records relating to the audit process which are not the principal copy held by internal audit	-	Audit monitoring complete + 1 year	Secure Disposal	N	Official	-
RMI4.0.2	Audit Committee Reports. Principal copy held by Democratic Services	-	Operational use + 3 years It is anticipated that Leadership Office will hold the principal set of these documents.	Secure Disposal	N	Official	-
RMI4.0.3	All records relating to the internal audit programme (including audit engagement plans, audit work papers, evidence and audit reports)	-	Current year + 5 years	Secure Disposal	Y	Official	-
RMI4.0.4	All records relating to special investigations undertaken by Internal Audit (including working papers and reports)	-	Resolution of the case + 6 years then review	Secure Disposal	Y	Official	-
RMI4.0.5	All records relating to the internal audit programme	-	Current year + 5 years	Secure Disposal	N	Not Protectively Marked	-
RMI4.0.6	All records relating to ad hoc work and advisory audit work	-	Current year + 5 years	Secure Disposal	N	Official	-