oneeducation

Archive & Delete

last updated for the Autumn 2019 (3.70) release

Handbook

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Contents

01 | Document Change Control

Date	Release	Description
Autumn 2019	**3.70**	A **Filter Text** field is available on the **Data Management | Delete Configuration | Identification Reports** page to enable you to refine your reports search. See *Defining the Delete Configuration* on page *9*. The **Data Management | Delete Configuration** tab has been updated to include the ability to delete Governors information. See *Defining the Delete Configuration* on page *9*.
Summer 2019	**3.69**	The **Archive and Delete** process has been improved, so that the process to manage records is more effective and efficient: It is now possible to remove sections of a record according to an LA's retention policy. 2 new business processes have been added to the D**ata Management Business Process** in the v4 Client. See *Setting Capita* One Permissions on page *5*. A new tab, **Delete Configuration**, enables the System Administrator to select which sections of a record can be deleted. See *Defining the Delete Configuration* on page *9*. A new button, **Delete Selected Records**, is available when the **Manual Search** option is selected to delete records. See *Manual Search* on page *15*. A new button, **Delete All Identified Records**, is available when the **Report Search** option is selected to delete records. See *Report Search* on page *15* and *Completed Reports* on page *16*. The **Delete Records** dialog has been updated to make it clearer to understand the number of records to be deleted and the **Archive Report Status Summary** is easier to understand. See *Deleting Records* on page *20*.

02 | **Archive & Delete**

Introduction to Archive & Delete

Archive & Delete provides a simplified archiving and data retention solution to help Local Authorities (LA's) manage records stored within the Capita One database in accordance with the Data Protection Act (DPA), Information Records Management Society (IRMS) guidelines and the LA's own retention policies.

LA's have a legal obligation to ensure records are maintained in line with the DPA. The IRMS provide guidelines to local governments regarding the appropriate retention periods for data that has breached a retention policy, e.g. passed the length of time it can be legally stored within a system. If data has breached a policy, the information is either archived, deleted (destroyed) or both.

Data Management

The **Archive & Delete** module is part of the One System Administration v4 site.

Identifying Records

Most Archive & Delete workflows will require you to identify records for processing, i.e. archiving, deleting or both. LAs can use the manual search functionality to identify records based on a limited set of search criteria. This might be useful when your LA receives a Freedom of Information (FOI) request for information stored in the LA's electronic systems.

The report search functionality enables LA's to apply their data retention policies to the information stored and managed by them. The report search functionality uses Microsoft's SQL Server Reporting Services (SSRS) solutions to create identification reports that identify records within Capita One that meet the retention policy criteria (as defined in the identification report).

A sample identification report is supplied by Capita that can be customized. Local Authorities can also create their own custom reports as required.

> **NOTE:**
>
> *To process an Identification report, the **Information to be Deleted** section should have been set accordingly within the **Delete Configuration** tab. See 'Defining the Delete Configuration'.*

Archiving

Archiving in Capita One is a method of extracting information from the One database to be stored externally (from the One database). The information to be archived is extracted based on SSRS reports e.g. a sample Capita Reports or custom reports created by the LA. The information collected by the report is extracted by Archive & Delete and then managed by the LA's archivist and stored within an Electronic Document Record Management System (EDRMS) or other appropriate electronic filing system.

The archiving process is dependent on a manual search or a report search being processed, records being selected from the list of returned search results and then applying the appropriate SSRS archive report to the selected records.

The selected archive reports are used to extract information from Capita One for archiving. Generally, an archive report should have a corresponding identification report. The parameters within the archive report should match those in the identification report, but, when processed, the archive report will extract information from the One database appropriate to how the record was identified. The output of the archive report is stored outside the One database. Once the data has been extracted, it can then be deleted from the database.

Deleting

After using identification reports identify and verify records that are in breach of your data retention policies and then extracting information via an archive report, you can delete the records from the One database.

It is possible to delete records without firstly archiving them, but you must be absolutely certain there are no requirements for the information to be archived. In most instances, some information will need to be archived before deletion.

Where a 'Manual' search has been processed the 'Complete One Education Record' will also be deleted from One Education. Information cannot be partially deleted from One Education for records processed by this search method.

When deleting records, Capita One processes the data as follows:

- Deleting – A full deletion of the One Education record.

  - Where Student information has exceeded the retention period and is no longer required in the system, this can be deleted from One Education without negatively affecting the Personal or Professional information associated with the selected records.

  - Where only Bases Professional information has exceeded the retention period, this can be appropriately deleted.

- Anonymisation – Occurs where the person or student is not the subject but are merely associated with a record, and there is no need to retain information about the person. For example, if a surveyor was entered as a person in the One database because they performed a Transport survey for the LA, the record of the survey taking place might still be required, but the details of the surveyor are not required. In this instance, the surveyor's record will be anonymised.

- Special anonymisation – Similar to a standard anonymisation, but where the system requires the association is replaced by the 'default archive person'. This is required to ensure data integrity and that no orphaned records are created e.g. the person associated with an Activity record as the Activity Owner is replaced by the default archive person.

> **NOTE:**
>
> *The System Administrator configures the information to be deleted in the Information to be deleted section on the* **Delete Configuration** *tab.*

Installing and Configuring Archive & Delete

The **Archive and Delete** functionality is part of the System Administration v4 site. For more information on installing configuring the server component of the module, refer to the *Deploying and Configuring the System Administration Portal for Local Authorities technical guide,* available from the One Publications website. After the server components are installed, a One administrator can configure the software.

03 | Configuring Archive & Delete

Overview

Before accessing the Archive & Delete sites, some configuration must be completed to ensure that the system works correctly in your environment. The following table provides a summary of the required configuration tasks with links to more detailed information. Depending on the current configuration, most of the following tasks can be carried out by a One administrator, although some might require a Network administrator.

The tasks in the Archive & Delete Application Configuration Checklist on page 4 should be completed by a One administrator after the Archive & Delete server configuration is complete.

Archive & Delete Application Configuration Checklist

IMPORTANT NOTE:

Before configuring the Archive & Delete in the v3 and v4 Clients, verify with your system administrator that the server installation and configuration has been completed. For more information on installation, refer to the Deploying and Configuring the System Administration Portal for Local Authorities technical guide, *available from the One Publications website.*

After a system administrator has configured the server components for Archive & Delete, a One Administrator must complete the following tasks within the One v4 Client and v3 Client to enable the application to work.

Step	Where to do it	What to do	Completed
1	**v4 Client**	Assign users the required Archive & Delete permissions. For more information, see Setting Capita One Permissions on page *5*	☐
2	**v4 Client**	Set up the scheduled tasks. For more information, see Setting up Scheduled Tasks on page *6*	☐
3	**v3 Client or System Administration v4 site**	Set the Default Archive Person (ARCDEFPERS)**.** For more information, see Default Archive Person (ARCDEFPERS) on page *6*.	☐
4.	**v3 Client or System Administration v4 site**	Set the Delete Log Retention Period (ARCDELDEF)**.** For more information, see Delete Log Retention Period (ARCDELDEF) on page 7	☐

Setting Capita One Permissions

In order for a One user to have access to the Archive & Delete module, they must be assigned the correct permissions.

The Archive & Delete module uses business processes to determine the user groups that have access to specific functionality. User groups are assigned Read, Read-Write-Delete or Deny permissions to each business process. Permissions are maintained in the One v4 Client. One system administrators should create user groups with the desired level of access to the following main business process and business processes:

> **IMPORTANT NOTE***:*
>
> *Unlike most other business processes, One Administrators are not automatically granted Read-Write-Delete permissions for the Archive & Delete related business processes. Any One administrator groups requiring such access, will need to be manually granted access to the Archive & Delete module.*
>
> *If a row has more than one tick, this indicates that any of the ticked permissions is valid; assign permissions as required.*

Main Business Process	Business Process	Read	Read-Write	Read-Write-Delete	Deny
Data Management		✔	N/A	✔	✔
	Archive & Delete	✔	N/A	✔	✔
	Delete & Log	✔	N/A	N/A	✔
	Delete All Identified Records	N/A	N/A	✔	✔
	Delete Configuration	✔	✔	N/A	✔

For a One user group to have full access to the Archive & Delete application, they must be granted Read-Write-Delete permissions for the Archive & Delete process.

Setting the Delete All Identified Records to Read-Write-Delete enables the user to select **ALL** records identified against a report to be processed a negate processing 250 records at time.

Setting the Delete Configuration to Read-Write enables the user to define for Identification Reports what One Education information is to be deleted.

Setting the Archive & Delete process to Read enables a user to manually search for records and run identification or archive reports, but they cannot instigate a delete.

Setting the Delete Log to Read enables a user to view the delete logs.

> **More Information:**
> *RG_Permissions* reference guide available from the One Publications website.

Setting up Scheduled Tasks

There are two scheduled tasks that must be configured to enable the proper functioning of Archive & Delete.

> **IMPORTANT NOTE:**
>
> *When setting up the following scheduled tasks, ensure that schedule them to not interfere with any system maintenance or database backups to allow the routine to complete successfully.*

- DR – Delete Routine – Deletes records that have been selected for processing. It is strongly advised to set the scheduled task trigger value to **One Time** and to run outside of normal working hours.

- DR – Delete Log – Runs a routine that validates the delete log retention default value and then deletes any records from the delete log that are older than the defined retention period.

You can set up the scheduled task via **Tools | Administration | Schedule Tasks.** Add two new tasks, assigning the DR – Delete Routine to one and the DR – Delete Log to the other. For more information on setting up scheduled tasks, refer to the *Technical Guide – v4 Scheduled Tasks*, available from the One Publications website.

Setting up the Archive & Delete Defaults

There are two LA default values that must be configured for the Archive & Delete routines to process successfully.

Default Archive Person (ARCDEFPERS)

The **ARCDEFPER** parameter code supplies the default archive person to the Archive & Delete module. This is a specific person in the Capita One database who, when required, is used to anonymise records. The person should be created specifically for use with archiving, and their details are displayed only in specific anonymisation scenarios, e.g. the person associated with an Activity record, such as the Activity Owner, is replaced by the default archive person.

When searching for records to archive, the default archive person is not displayed in the **Identified Records** section to protect any records they might be associated with.

If the ARCDEFPER value is not set or the person to which it is set is removed from the One database, then the **Proceed to Delete** button in the **Delete Records** dialog is disabled and no records can be deleted from the Capita One system.

To ensure you can adequately identify records affected by the special anonymisation process, you should name the 'Default Archive Person in the following manner:

- Forename: Period archive person was created for e.g. 'Sept-2014' or '2014'

- Surname: A description to make the record identifiable to users e.g. 'Archived'

Based on the previous examples, viewing any records affected by the special anonymisation process will display the person as 'Archived, Sept-2014' or 'Archived, 2014' from the examples given.

Setting the ARCDEFPERS value in the v3 Client

1. Log into the v3 Client as an administrator and select **Tools | System Administration | LA Defaults** to display the list of default values.

2. Select the **ARCDEFPERS** parameter code.

3. In the **Value** field, enter the **PERSON_ID** of the Capita One person record created to be associated with anonymised records.

4. Click the save icon to record the changes.

Setting the ARCDEFPERS value in System Admin v4 Online

1. Log into the System Administration v4 Online site as an administrator.

2. In the **System admin** area, select **System Defaults**.

3. In the **Filter** field, enter **ARCDEFPERS**.

4. Select item in the list to enable editing.

5. In the **Value** field, enter the **PERSON_ID** of the Capita One person record created to be associated with anonymised records.

6. Click the **Save** icon to record the changes.

Delete Log Retention Period (ARCDELDEF)

To provide transparency and for auditing purposes, whenever a deletion of a record occurs in Archive & Delete, an entry is created in the Delete Log. The ARCDELDEF parameter code determines the number of months for which you want to keep the delete log information. Once the number of months has passed for a delete log entry, the information is removed from the delete log by the v4 schedule task triggered for the Action – DR – Clear Delete Log.

It is strongly recommended you set the Delete Log Retention Period value to equal the longest destruction retention period defined within any of your retention policies, e.g. if your longest destruction retention period is 10 years, then enter 120.

Setting the ARCDELDEF value in the v3 Client

1. Log into the v3 Client as an administrator and select **Tools | System Administration | LA Defaults** to display the list of default values.

2. Select the **ARCDELDEF** parameter code.

3. In the **Value** field, enter the number of months that entries in the delete log should be retained.

4. Click the save icon to record the changes.

Setting the ARCDELDEF value in System Administration v4 Online site

1. Log into the System Administration v4 Online site as an administrator.

2. In the **System admin** area, select **System Defaults**.

3. In the **Filter** field, enter **ARCDELDef**.

4. Select item in the list to enable editing.

5. In the **Value** field, enter the number of months that entries in the delete log should be retained.

6. Click the **Save** icon to record the changes.

04 | Defining Reports and Retention Policies

Overview

Before defining reports to identify records for processing, it is important that your organisation clearly defines and understands retention policies. These policies should be defined in accordance with the Data Protection Act (DPA), Information and Records Management Society (IRMS) guidelines and any LA specific policies.

For more information regarding retention periods for all information managed by Local Government, see the IRMS Official website: http://www.irms.org.uk/

Specific attention should be given to the information that can be managed within Capita One.

After the retention polices have been agreed and signed off, e.g. for each Capita release or annually, they can then be used to identify records within Capita One. You apply retention polices to the One database by defining identification reports and archiving reports that reflect those policies.

As a simple example, if a retention policy is that all employees should be removed from the system 15 years after leaving their post, then you would create an identification report that returns all employees in breach of those conditions (i.e. they have not had a post at the LA for at least 15 years and the system currently holds no other related information related to them). You would also consider creating an archive report that extracts required information that should be stored externally for a period of time, e.g. People & Children they have been in contact with during their employment period with the LA.

Capita provides the following predefined reports to help identify records that should be archived:

- **Sample Universal Record Identification Report** - Returns records based on a set of criteria that could identify a universal record that could be deleted from Capita One.

- **Sample CSS Archive Report** - Extracts a list of services the record has been involved with.

- **Sample SEN Archive Report** - Extracts a list of SEN records associated to the student or person it has been processed for.

- **Sample Unattached People Report** – This report replaces the Bulk Delete (Guardian) functionality, previously available from the **Bulk Deletion** tab in the v3 Client. By default, this report selects person records that have not been updated in the last 12 months, that have only system and core associated data, where the relevant person is aged 25 years or over. This report is very general and must be reviewed and possibly modified to satisfy specific retention polices. However, these reports can be cloned and used as the template for all identification and archiving reports. When defining your own reports, the report name should reflect the retention policy and the description of the report should detail the policy criteria. The report name and description are displayed to the user when they are selecting which reports to run.

In order to process the example reports provided, ensure the 'Datasource' for the report definition has been updated.

One Archive & Delete supports a shared datasource or a direct connection to the Oracle database using the database instance name and password. If you are unsure of your connection method, you should contact your System Administrator.

If your One environment uses a direct Oracle connection <u>and</u> PRIME authentication, ensure the SSRS Report permissions are configured properly. For more information, refer to the *Deploying and Configuring the System Administration Portal for Local Authorities technical guide* available from the One Publications website.

> *WARNING! The instructions in the following section are at a high-level, because each organization must create reports that reflect their own retention policies.*
>
> *It is imperative that the reports you have created are reviewed to ensure they only return the records that you expect. Failure to review report output before archiving and deleting can result in removing data from Capita One that __cannot__ be restored. For more information on reviewing records, see Reviewing Records on page 17.*

Defining the Delete Configuration

Local authorities will have multiple identification reports and the information required to be deleted from One Education will differ according to identification report and retention policies. The **Delete Configuration** tab enables a permitted user to configure for each identification report what information should be deleted from One Education.

Where Student information has exceeded the retention period and is no longer required, this can be deleted from One Education without negatively affecting the Personal or Professional information associated with the selected records.

Where only Bases or Governors Professional information has exceeded the retention period, this can be appropriately deleted.

To configure the information to be deleted:

1. Select the **Delete Configuration** tab to display the **Identification Reports** page.
2. Use the **Filter Text** field to refine your search.
3. Select a report.
4. Click the **Edit** button next to **Information to be deleted**.
5. Select the information to be deleted using the check boxes.

> **NOTE:**
>
> *Selecting **Complete One Education Record** will also select the information options below it to indicated they are also to be deleted. This will delete __ALL__ information from the One Education System.*

6. Click the **Save** button.

Defining an Identification Report

Identification reports are defined using the SQL Server Reporting Services Report Manager and Report Builder, accessible from the v4 Client. Capita supplies the 'Sample Universal Record Identification Report', which returns all the student records in the One database.

> **NOTE:**
>
> *The instructions in this section are at a high-level, because each organization must create reports that reflect their own retention policies.*

To define a new identification report:

1. In the v4 Client, select **Focus | Analysis Reporting | Reports** to display the **Reports** page.
2. Click the **Start Report Manager** button to display the **SQL Server Reporting Services Report Manager** home page.
3. Click the **Identification Reports** folder to display its contents.
4. Open the 'Sample Universal Record identification' report in Report Builder.
5. Right click on **Dataset1** and select **Query** from the menu.

6. Make the required changes to the report parameters. The following chart outlines the key to the selection criteria, but it is imperative the identification report always outputs the STUDENT ID or PERSON ID for the system to correctly display the identified records.

Scenario	Existing criteria	Update Required
Information should be considered and if it exists, the student is not identified for deletion from Capita One.	UNION SELECT 'EXCLUSIONS' as TableName, 29 as Module_ID, STUD_ID as Stud_id, count(*) as Count from EXCLUSIONS Group by STUD_ID	No change required
Information should not be considered and where it exists the student will be identified for deletion from Capita One.	UNION SELECT 'EXCLUSIONS' as TableName, 29 as Module_ID, STUD_ID as Stud_id, count(*) as Count from EXCLUSIONS Group by STUD_ID	Add "--" to the start of the query and this will stop SSRS from running the statement
More detailed criteria is required (age of records) to exclude certain records, to exclude certain student records from being identified, in this case student with an exclusion record that has not been updated in the last 15 years.	UNION SELECT 'EXCLUSIONS' as TableName, 29 as Module_ID, STUD_ID as Stud_id, count(*) as Count from EXCLUSIONS XX Group by STUD_ID	Insert SQL below where marked by 'XX' WHERE EXCL_ID IN(select excl_id from (SELECT exc.excl_id, last_updt,round(((sysdate) - exc.last_updt)/'365',1) as AgeInYears from exclusions exc)where ageinyears > 15)
Change the age of students to be identified to 40 and over.	(select person_id from (SELECT age.person_id, dob,round(((sysdate) - age.dob)/'365',1) as AgeInYears from people age) where ageinyears > 25)	(select person_id from (SELECT age.person_id, dob,round(((sysdate) - age.dob)/'365',1) as AgeInYears from people age) where ageinyears > 40)

7. Edit the report description to reflect the details of the retention policy. This information is displayed to users when choosing which reports to run.

> **IMPORTANT NOTE:**
>
> *If your One environment uses PRIME, you must ensure that you edit the report connection settings to use a shared datasource.*

8. Use the **Save As** functionality to save the new report, ensuring you give it a new name and that is saved to the Identification Reports folder on your report server.

   After the new report has been saved to the Identification Reports folder, they are available for users when searching for records.

> **More Information:**
>
> Getting Started with Report Builder 2.0 available from Microsoft - http://technet.microsoft.com/en-us/library/dd220460(v=sql.100).aspx
>
> Getting Started with Report Builder available from Microsoft http://technet.microsoft.com/en-us/library/dd220460(v=sql.110).aspx

> ***WARNING!*** *It is imperative that the reports you have created are reviewed to ensure they only return the records that you expect. Failure to review report output before archiving and deleting can result in removing data from Capita One that <u>cannot</u> be restored. For more information on reviewing records, see* .

Defining an Archive Report

Archive reports are defined using the SQL Server Reporting Services Report Manager and Report Builder, accessible from the v4 Client. Capita supplies the 'Sample CSS Archive Report' and 'Sample SEN Archive Report', which return all the student records in the One database that contain CSS or SEN information respectively.

To define a new archive report:

1. In the v4 Client, select **Focus | Analysis Reporting | Reports to display the Reports page.**

2. Click the **Start Report Manager** button to display the **SQL Server Reporting Services Report Manager Home page**.

3. Click **the Archive Reports** folder to display its contents.

4. Open the sample report you wish to use as a template in Report Builder.

5. Make the required changes to the report parameters. The key parameter is PERSON ID and it must form the basis for how the information is extracted.

   > **IMPORTANT NOTE:**
   >
   > *If your One environment uses PRIME, you must ensure that you edit the report connection settings to use a shared datasource.*

6. Use **the Save As** functionality to save the new report with a new name. You should also ensure the report is saved to the Archive Reports folder on your report server.

   After the new report has been saved to the Archive Reports folder, they are available for users when extracting records.

   > **More Information:**
   >
   > Getting Started with Report Builder 2.0 available from Microsoft -
   > http://technet.microsoft.com/en-us/library/dd220460(v=sql.100).aspx
   >
   > Getting Started with Report Builder available from Microsoft
   > http://technet.microsoft.com/en-us/library/dd220460(v=sql.110).aspx

Uploading Reports

If you do not create your reports on the report server, they must be uploaded to the appropriate folder on the report server before they are available to use in the Archive & Delete module. You can use your existing SSRS solution to upload the reports, or you can use the CCSServerConfig.exe tool to upload the reports.

To use the CCSServerConfig.exe tool to upload reports:

1. On the application server, run the CCSServerConfig.exe from the C:\inetpub\wwwroot\ArchiveAndDelte\Config folder.

2. Select the **Sys Admin** tab.

3. Navigate to the **SQL Server Reporting Services 2005/2008** section.

4. Enter the **URI of SQL Server 2005/08**. This field must be entered each time you upload a report and should be the URL of your report server.

5. Click the button for the type of report you want to upload. A dialog is displayed asking if you use PRIME Custom Authentication for SSRS.

   a. If you do use PRIME authentication, click the **Yes** button and enter your PRIME administrator credentials.

b. If you do not use PRIME authentication, click the **No** button.

A file selection dialog is displayed.

6. Select the required report and click the **Open** button to upload the report.

> **IMPORTANT NOTE:**
>
> *Each time you upload a report, you will be asked if you want to overwrite the default reports that are automatically uploaded by the configuration tool. If you have edited the default reports, you should choose **No** when asked if you want to overwrite the reports.*

05 | **Managing Records**

Overview

The archive and delete process is broken down into three stages. In stage one, you search for records that might require archiving based on individually selected criteria (manual search) or based on a pre-defined report (report search). In stage two, you review the list of returned records and select the records that require processing. In stage three, you select how you will process the selected records.

Accessing the System Administration v4 site

There are three methods of accessing the System Administration v4 site. This provides flexible accessibility. The following internal navigation links are controlled by permissions:

- Access directly via the configured URL.

- Access from the v4 Client via **Tools | Administration | System Administration.**

- Access from v4 Online via **Administration | System Admin | System Administration.**

The above menu routes are available if the Capita One user has appropriate permissions to any of the main business processes associated with the System Administration v4 site, including the 'System Administration' and 'Data Management' main business processes. The links are also available to users with access rights to the 'Address Management' main business process, unless their only access is to the 'Import Addresses' business process as this is currently within v4 Online and not the System Administration v4 site.

In order to access the Archive & Delete functionality, you must have a valid Pulse v4 licence.

Identifying Records

There are two methods for searching for records. The **Manual Search** option enables you to search on specific criteria entered manually. The **Report Search** option enables you to select a pre-defined report. For most tasks, it is recommended that a report search is used. Identification report searches provide greater flexibility in the criteria that is used. Manual searches can only use **Name, Age, Active** status, **Date of Birth** and **Gender** as criteria.

After running an identification report, the results are saved in the **Completed Report** list. The list enables you to view the results returned when the report was last run without doing a full database search, which improve efficiency. Therefore, if you have run an identification report but not processed all the returned records, you should access the **Completed Results** list instead of running the search again. LA's can be flexible in their approach and implement differing processes, e.g. not reprocessing a report until all records have been deleted or running the report on a periodic basis e.g. 2 weeks, 1 month or once a quarter.

> **NOTE:**
>
> *The 'Delete Configuration' for an identification report is captured at run time and to protect the information that is to be deleted from One Education. Should the 'Information to be Deleted' have changed since the report was processed the LA user must decide if it is appropriate to reprocess the report for the updated configuration to be applied to records that are to be processed.*

The **Identified Records** displays the following information for any records found by a manual or report search:

■ **Archive Status** – A colour-coded icon is displayed next to each record to note the archive reporting status of the record. If more than one report has been processed for a record, the highest ranking status is displayed. The following table describes the meaning of each colour (in ascending order):

Colour	Short Description	Full Description
Red	Report(s) Failed	One or more archive reports failed to be fully processed.
Yellow	Report(s) Queued	One or more reports selected are currently queued to be processed.
Amber	Report(s) Processing	One or more reports are currently being processed.
White	No Report(s) Processed	No reports were selected to be processed.
Green	Report(s) Completed	All selected reports have completed processing.

■ **Person ID** – As stated, the Person or Student ID for the identified record.

■ **Legal Name (Gender)** – The Legal Forename, Surname and Gender information from the PEOPLE DB table – If no name exists then 'No name recorded' value is displayed.

■ **Chosen Name** – The Chosen Forename and Surname from the PEOPLE DB table – If no name exists then 'No name recorded' is displayed.

■ **View Dependencies** – Note the information icon is used for the heading with a tool tip description.

■ **DOB (Age)** – A combination of the DOB information and the age of the Student or Person – If no DOB exists then 'No DOB recorded' is displayed.

■ **Active** – The active state of the Student or Person record.

■ **Correspondence Address** – The current correspondence address for the Student or Person – If no such address exists then 'No current address recorded' is displayed.

The Identified Records heading displays the total number of records identified by the search processed; there are some points to note regarding the list displayed.

■ The system displays 250 records per page, so if more than 250 records are returned the system will divide the total by 250

■ The following records are suppressed from being displayed:

• Students or People who have already been selected to be deleted and who an error has not been logged.

• Students or People who have a One Youth record.

• The 'Default Archive Person'.

The column sorting will reorder the total number of records returned in the search however the **Filter Text** will only filter the current selected page of records and not all records.

If one or more records have been selected, should a different search option be selected, or the search is reprocessed, the system will display a message stating records are selected and does the user wish to continue with the current action.

> **More Information:**
>
> <u>Manual Search</u> on page *15*
> <u>Report Search</u> on page *15*

Manual Search

To search for records manually:

1. In the **Data Management** area, select **Archive & delete**.

2. In the **Search** panel, ensure **Manual Search** is selected.

3. Enter your required search criteria. At least one field must be populated to process a search.

4. Click the **Search** button to display the records that meet your search criteria in the **Identified Records** panel.

5. Review and process the records as required.

> **More Information:**
>
> <u>Reviewing Records</u> **on page** *17*
> <u>Processing Records</u> **on page** *19*

Report Search

To search for records based on an identification report:

1. In the **Data Management** area, select **Archive & delete**.

2. In the **Search** panel, select the **Report Search** radio button to display the report related search fields.

3. Enter the name of the required report in the **Identification Report** field. If you do not know the name, you can choose from the list of available reports by completing the following steps:

   a. Click the magnifying glass icon adjacent to the **Identification Report** field to display the **Identification Report** dialog. The list of SSRS identification reports available in the 'Identification Reports' directory on the SQL reporting server is displayed.

   b. Highlight the required report from the list. If the Delete Configuration has not been set up, the following message is displayed:

      Information to be deleted has not been configured for the identification report. Please set up Delete Configuration information to allow the report to be processed.

   c. Click the **Select** button to close the dialog and return to the **Search** panel.

4. Click the **Search** button to display the records that meet your search criteria in the **Identified Records** panel.

   If the report has been previously processed, a dialog is displayed to inform you that all previously identified records will be lost.

   Read-only **Information to be deleted** is displayed. You may not wish the whole One record to be deleted, so you can now select the type of information you wish to remove from the record. A System Administrator configures these settings on the **Delete Configuration** tab.

   a. Highlight the required completed report from the list.

      The record can be deleted at this point, by selecting **Delete**.

b. Click the **Select** button to close the dialog and return to the **Identified Records** panel.

5. Click the **Search** button to display the previously found records in the **Identified Records** panel.

6. Review and process the records as required.

You can remove all the records by selecting **Delete All Identified Records** or you can select individual records and click **Delete Selected Records**. Deleted records are stored in the database table ARC_DELETED_PEOPLE.

> **NOTE:**
>
> *If the report takes longer than 30 seconds to process, a message is displayed and the results are saved in the **Completed Report** list. For more information, see Completed Reports on page 16.*

> **More Information:**
>
> Reviewing Records **on page** *17*
> Processing Records **on page** *19*

Completed Reports

After an identification report has been processed, the results are saved in the **Completed Report** list. Selecting a completed report instead of running the identification report again saves time as the completed report does not have to query the full database. The results of an identification report search are saved in the **Completed Report** list until one of the following occurs:

- all the identified records returned by the report are deleted.

- the completed report is overwritten by a new search based on the same report.

- a user chooses to delete the completed report information.

If an identification report returns zero records, it is not saved to the **Completed Report** list. The **Completed Report** list provides the following information:

Column Name	Description
Report Name	The name of the identification report used for the search.
No of Records	The number of records returned by the identification report that have not been deleted from the database. For example, if a report returned 100 records, if you then deleted 25 records, the next time you viewed this entry in the **Completed Report** list, this column would display 75.
Date Processed	The date on which the report was last run. An identification report can have only one entry in this list. If you run the identification report again, you will be warned that the current results will be overwritten.
Processed By	The One user that ran the identification report.

To process records saved against a completed report:

1. In the **Data Management** area, select **Archive & delete**.

2. In the **Search** panel, select the **Report Search** radio button to display the report related search fields.

    a. Click the magnifying glass icon adjacent to the **Completed Report** field to display the **Completed Report** dialog.

    Information to be deleted is displayed. You may not wish the whole One record to be deleted, so you can now select the type of information you wish to remove from the record.

    b. Highlight the required completed report from the list.

    The record can be deleted at this point, by selecting **Delete**.

    c. Click the **Select** button to close the dialog and return to the **Identified Records** panel.

3. Click the **Search** button to display the previously found records in the **Identified Records** panel.

4. Review and process the records as required.

    You can remove all the records by selecting **Delete All Identified Records** or you can select individual records and click **Delete Selected Records**. Deleted records are stored in the database table ARC_DELETED_PEOPLE.

    > **More Information:**
    >
    > Reviewing Records on page *17*
    > Processing Records on page *19*

Reviewing Records

Before choosing to archive and delete records from Capita One, care should be taken to review the records that have been identified to be in breach of your organisation's data retention policies. Reviewing records before archiving or deleting ensures that your reports are returning only the records that you expect to be returned.

You can review the basic details of records in the **Identified Records** panel. Each record also contains a **View Dependencies** icon. When clicked, this displays the **Capita One Dependencies** window where you can review all business processes or modules within One for which the person has associated records. This enables you to verify that only records that your retention policy criteria is intended to apply to are being returned by the reports. You can save the list of returned records as a text or Excel file to review offline by using the **Export List** button.

> **NOTE:**
>
> *If incorrect or unexpected records are identified, you should remove the report from the 'Identified Records' folder within SQL Report Manager to ensure no records are incorrectly processed until the report has been corrected.*

> **More Information:**
>
> Exporting a list of Identified Records on page *18*
> Viewing Record Dependencies on page *18*

Exporting a list of Identified Records

You can export a list of all records that meet a specific set of search criteria whether from a manual or report search. This enables you and your colleagues to review and verify records in an offline form before archiving or deleting the records. The only data that is saved in the exported list file are the search criteria, the filter text, Archive Status, Person Id, Legal Name, Gender, Chosen Name, DOB, Active status and Correspondence Address.

To export a list of identified records:

1. In the **Data Management** area, select **Archive & delete**.

2. Search for the records you wish to review. For more information, see Identifying Records on page *13*.

3. If required, filter the results by entering some **Filter Text**.

4. Click the **Export List** button to export the file. A dialog or message is displayed (dependent on your web browser).

5. Select the required **Export Format**.

6. Click the **Export** button to export the file. A dialog or message is displayed (depending on your web browser).

7. Save or open the document as required using your web browser's save and open facilities.

8. It is strongly recommended that you also review the dependencies of the returned records before archiving and deleting them. For more information, see Viewing Record Dependencies on page *18*.

> **NOTE**:
>
> *The system can only extract up to 100,000 records to the export list. If you try to extract more than 100,000 records, the **Export Options** dialog will warn you that not all the returned records will be included in the exported list.*

Viewing Record Dependencies

To view full details of the records identified by your search, you can click the **View Dependencies** icon available in each returned record row. This displays a list of all the One business processes and modules within One which the selected Person or Student has associated records.

Viewing record dependencies enables you to verify all the areas in One where associated information for the selected record exists. This can help ensure that your identification reports are only identifying records based on the set criteria. For example, if you want to remove people who have only ever had an A&T record, the identification report should only return records with entries in the 'Student Core', 'Person Core' and 'Admissions & Transfers' business processes. If records are returned with entries in other business processes, you must correct the identification report to return only records based on the selection criteria; the problem could be that some information has not been included in the reports validation and should be added.

To view the person dependencies:

1. In the **Identified Records** table, click the **View Dependencies** icon for the required person to display the **View Dependencies** dialog.

2. Select an area from the **Navigate to section** drop-down to jump to that section. Each One business process has an entry, and the number of records for the selected person in the area is displayed in parenthesis next to the process name.

Column Name	Description
Business Process	The area within One to which the record is related.
Table Name	An Identifiable table name, but not necessarily the exact One database table name that holds the record.
Column Name	A column description to identify the association of the records potential use.
No. of records	Number of records directly associated to the person held in that table/column combination., e.g. the record is associated with the **Person ID** or **StudID.**

3. When you have finished reviewing the dependency details, click the **Close** button to return to the search results.

> **NOTE:**
>
> *The dependency report only provides a count of records directly associated with the Person or Student at the highest level and does not include all child records. For example, a 'Transfers' (A&T Application) record may have 5 child 'Choices' (Preference) records. The number of child records is not counted and displayed in the Dependency Report but will be within the Delete Log.*

Processing Records

Processing records has two phases that operate independently of each other, archiving and deleting. In most instances there will be some requirement to extract information from Capita One to facilitate archiving records prior to deleting them, but it is possible to perform a search and then delete records without archiving.

Archiving Records

Archiving records from the database does not remove any information from the database; it only extracts the selected information and saves it in an electronic format (read only PDF) externally to the database to a pre-configured network location. If data is archived, it is still stored in the system and is not deleted from the database until you actually complete the deletion process.

Archiving reports should be created that extract the required information from Capita One based on how they were identified, e.g. if a professional is deleted from the system then it would be pertinent to extract a full list of young people and adults they have been in contact with for safe guarding purposes.

To extract data from the One database and save it externally:

1. In the **Data Management** area, select **Archive & delete**.

2. Open the required completed report or start a new search for the records you wish to archive. For more information, see Identifying Records on page *13*.

3. In the **Identified Records** panel, select the records that you wish to archive. Select the check box in the header row to select all the records on the page.

4. Click the **Archive Records** button to display the **Archive Reports** dialog. A list of SSRS archive reports available in the 'Archive Reports' directory on the SQL reporting server is displayed.

5. Select the report on which the data extraction should be based. If required, more than one report can be selected.

6. Click the **Process** button to display a message confirming the archive reports have been added to the processing queue.

After the system has finished extracting the data, the exported PDF is placed in the archiving location set up for you One environment. For each report and record combination, a read only PDF file is extracted with its own name, which uses the following naming convention: personID-legalforename-legalsurname-DOB-reportname.

At this stage, no data has been removed from the database. Although the selected data has been extracted, it still resides in the database. If it must be deleted, see Deleting Records on page *20.*

The files extracted by the archive routine should be further processed by the LA's archivist or Data Governance Officer and stored electronically for the remaining retention period. The file naming will allow the information to be referenced via the PersonID or Name and DOB should the details be required in the future.

> **NOTE:**
>
> It is the LA's responsibility to manage the information extracted from Capita One appropriately and to ensure it is destroyed if they have breached their relative retention period.

Deleting Records

Users with the correct permissions can delete records from the One database. Once a record is deleted, it is completely removed from the database and cannot be recovered.

After confirming that any records you wish to delete have completed the archive process, this can be verified by reviewing the **Archive Status** column value, you can delete records by completing the following steps:

> **WARNING!:** *Completing the following procedure will permanently delete data from your One database that cannot be recovered.*

1. In the **Data Management** area, select **Archive & delete**.
2. Open the required completed report or start a new search for the records you wish to delete. For more information, see Identifying Records on page *13.*
3. In the **Identified Records** panel, select the records that you wish to delete. Select the check box in the header row to select all the records on the page.
4. Click the **Delete Selected Records** button or the **Delete All Identified Records** button to display the **Delete Records** dialog. This is a summary of the information to be deleted and the **Archive Report Status Summary**.

> **WARNING!:** *The **Delete Records** dialog provides a summary of the current status of the records selected for deletion. You should not proceed to the next step if the dialog indicates that any records you expected to be archived have not been processed or have failed to process.*

5. A delete statement is displayed and should be fully read and understood.

   You must read all the text (you might need to scroll to view it all).
6. Select the **Yes, I have read the 'Delete Statement' and agree to its conditions** check box.
7. Click the **Proceed to Delete** button to permanently delete the records from the one database.

   Selected records were successfully added for deletion.

After deletion, entries are made in the **Delete log** for the records that have been removed. Assuming that a completed search was used in step 2, the **No of Records** should be reduced by the number of deleted records.

NOTE:

 It is possible two warnings could be displayed within the **Delete Record** dialog.

*The 'Default Archive Person' has not been configured – If this is the case the **Proceed to Delete** button is disabled. You cannot delete records if this is not configured correctly*

A scheduled task does not exist for the delete routine - This warning will not stop the delete process from being completed but is purely informational. The records being selected will not be deleted as the routine to process them has not been scheduled.

More Information:

Completed Reports on page *16*
Viewing the Delete Log on page *21*

Viewing the Delete Log

The delete log provides an audit trail for reviewing who deleted records from the database and when they did it. The delete log provides the **Person ID**, **Person Name**, **DOB**, **Date Deleted**, **Deleted By** and from which areas of One data was removed. This information can then be used by the archivist to locate the full archived record if the detailed record information is required.

NOTE:

The delete log does not retain records forever. Log entries are deleted automatically after the designated number of months has passed. This retention period is defined in the v3 Client or System Administration v4 site. For more information, see Delete Log Retention Period (ARCDELDEF).

To search for details on a deleted record:

1. In the **Data Management** area, select **Delete log**.

2. Enter the search criteria for the person whose deletion record you wish to view. The **From Date** and **To Date** are related to the dates you believe the deletion took place.

3. Click the **Search** button to display the delete records that meet your criteria in the **Identified Records** panel.

4. If required, use the basic details provided in the search results to locate the extracted record in the archive.

Searching Tips

■ To identify all records deleted up until a certain date, only populate the **To Date** value.

■ To identify all records deleted from a certain date, only populate the **From Date** value.

■ To identify all records deleted between certain dates, populate the **From Date** and **To Date**.

■ To identify all records deleted by a certain user, only populate the **Delete By** value.

The information icon displays the **Detailed Delete Information** for the selected record. These values might not exactly match those noted from the **Capita One Dependencies** information. The reason for this is when deleting information from the system, there could be linked records e.g. linked files or child records for the highest level record.

06 | Additional Advice

Is the Delete Routine running?

To understand whether the delete routine is still being processed, the database table ARC_DELETE_PROCESS_LOG can be reported on. This provides information on all instances of the delete routine and the number of records processed, as well as the number of successfully and unsuccessfully deleted records.

There is a **Status** value and this will be populated with one of the following values:

- 'Q' – The Delete routine is queued for processing
- 'P' – The Delete routine is currently being processed
- 'C' – The Delete routine successfully completed
- 'F' – The Delete routine failed to complete successfully (This could be due to a fatal error or the system\ database was interrupted by a backup routine or other system maintenance)

Alert Notifications

Alert to notify users the record has been selected to have information archived therefore meaning it will be deleted at some point.

Use the SQL below in an 'SQL Alert' for the stated contexts.

- For a Student pop-up alert select 'Student Details' as the SQL Alert Context
- For a Person pop-up alert select 'Person Details' as the SQL Alert Context

  select person_id from arc_archive_report_status where person_id = :param1

- Alert to notify a Data Officer that records have been selected for archiving, use the SQL below in the 'Query' field for a 'Schedule' alert

  select p.person_id ,p.Legal_forename, p.Legal_surname, p.DOB, R.REPORT_NAME, SU.DESCRIPTION as Processed_By, r.last_updated

  from people p, arc_archive_report_status r, security_users su

  where p.person_id = r.person_id

  and r.user_id = su.user_id

  and to_date(last_updated, 'DD-MM-YYYY') = to_date(sysdate, 'DD-MM-YYYY')

- Alert to notify a Data Officer that records have failed the archiving process, use the SQL below in the 'Query' field for a 'Schedule' alert

  select p.person_id , p.Legal_forename, p.Legal_surname, p.DOB, R.REPORT_NAME, SU.DESCRIPTION as Processed_By , r.last_updated

  from people p, arc_archive_report_status r, security_users su

  where p.person_id = r.person_id

  and r.user_id = su.user_id

  and r.status = 'F'

  and to_date(last_updated, 'DD-MM-YYYY') = to_date(sysdate, 'DD-MM-YYYY')

Additional Advice

- Alert to notify a Data Officer that records have completed the archive process and are ready to be deleted. The example provided is only for where no delay is required between when the archiving process finishes and when the Data officer is notified that the records are ready for deletion. Use the following SQL in the 'Query' field for a 'Schedule' alert

  select p.person_id, p.Legal_forename, p.Legal_surname, p.DOB, SU.DESCRIPTION as Processed_By , a.last_updated

  from people p, onemx64.arc_archive_report_status a, security_users su

  where p.person_id = a.person_id

  and a.user_id = su.user_id

  and a.person_id not in

  (select person_id

  from arc_archive_report_status a

  where a.status not in ('P', 'F'))

  and to_date(a.last_updated, 'DD-MM-YYYY') = to_date(sysdate, 'DD-MM-YYYY')

  If you require a period of time between when the archiving process completes and when you are notified that the records are ready for deletion, you can edit last line of the previous SQL. For example, to delay the notification for three months, then change the last line to 'to_date(sysdate+90, 'DD-MM-YYYY')'.

- Alert to notify Data Officer that records failed the deletion process, use the SQL below in the 'Query' field for a 'Schedule' alert

  select p.person_id, p.Legal_forename, p.Legal_surname, p.DOB, SU.DESCRIPTION as Processed_By , a.date_confirmed as Date_Deleted

  from people p, arc_delete_people a, security_users su

  where p.person_id = a.person_id

  and a.user_id = su.user_id

  and a.status = 'E'

Index