# DSD - Section 7



## D-4.2-03 – IHSS CMIPS Detailed System Design (DSD) (R2025.03.01) Section 7

Version 1.0

03/28/2025

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# DSD 7/Architecture – Data Retention

CMIPS Data Retention is a concept for the retention of information for appropriate program execution and legal analysis. Data needs to be kept as long as legally required as determined by the State Project Manager and/or State policy and then archived. It is a project direction to provide enough storage for operational data, file retention, backup and the Reporting Database (Online Archive).

# DSD 7/Architecture – Data Retention/Data Retention Topic Area

Data Retention DSD describes the following topic areas:

Monthly Logical Delete process (Create Online Archive by logically deleting the record in the Cúram and Advantage database and inactivating the record in the Reporting DB) – This is the checking of the records in the Reporting Database (Online Archive) to determine if the criteria for deletion from the operational databases are met. If met, the data from the Operational Databases (logical delete not physical) will be deleted and the status will be changed to Inactive in the Reporting Database (Online Archive).

Monthly Purge process – This is the checking of the records in the Reporting Database (Online Archive) that have a status of Inactive and meet the requirements for purging. If met, the data from the Reporting Database (Online Archive) will be deleted and the data from the Operational Databases will be physically deleted.
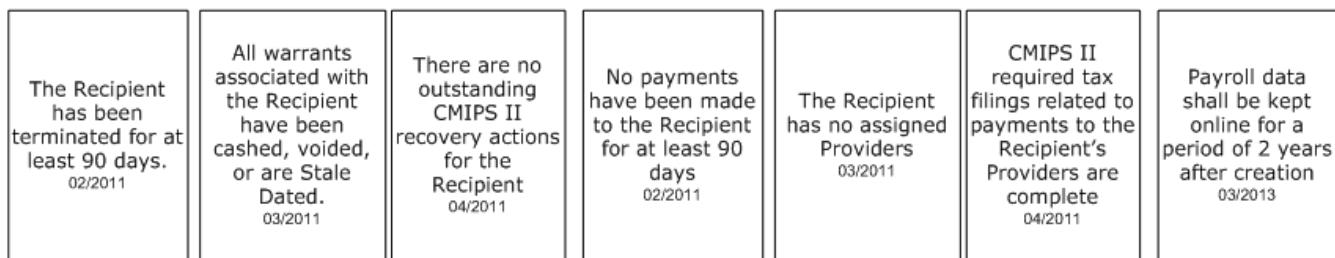
# DSD 7/Architecture – Data Retention/Data Retention Topic Area/Monthly Logical Delete Process

| CI | Document Name |
|---|---|
| ◇ **CI-69416** - DSD BF Monthly Logical Delete Process  IMPLEMENTED | DSD_BF_Monthly_Logical_Delete_Process.doc |

A monthly batch job will run to logically delete data from the Case Management and Payroll ETL reporting databases five and a half (5½) years past the expiration date. The data that has been logically deleted but not yet purged can be re-activated (logically un-deleted).

An extract file is used to set the expiration date in the Business Objects Metadata Source Records once the criteria are met.

The below figure, Criteria Selection Example, demonstrates the Recipient delete and purge criteria evaluation. First, CMIPS evaluates each individual date for being at least five and a half (5½) years of being expired then sets a date for deletion from the Operational Database. Second, it evaluates the two years of Online Archive retention criteria for purging and sets a date. Batch processes then look for the status of the record, the date the criteria are met and suspend the date-flag, and if these are satisfied, it executes a batch for appropriate action of logical delete or purge with appropriate status updates. Files are completely removed after nine and a half (9½) years.
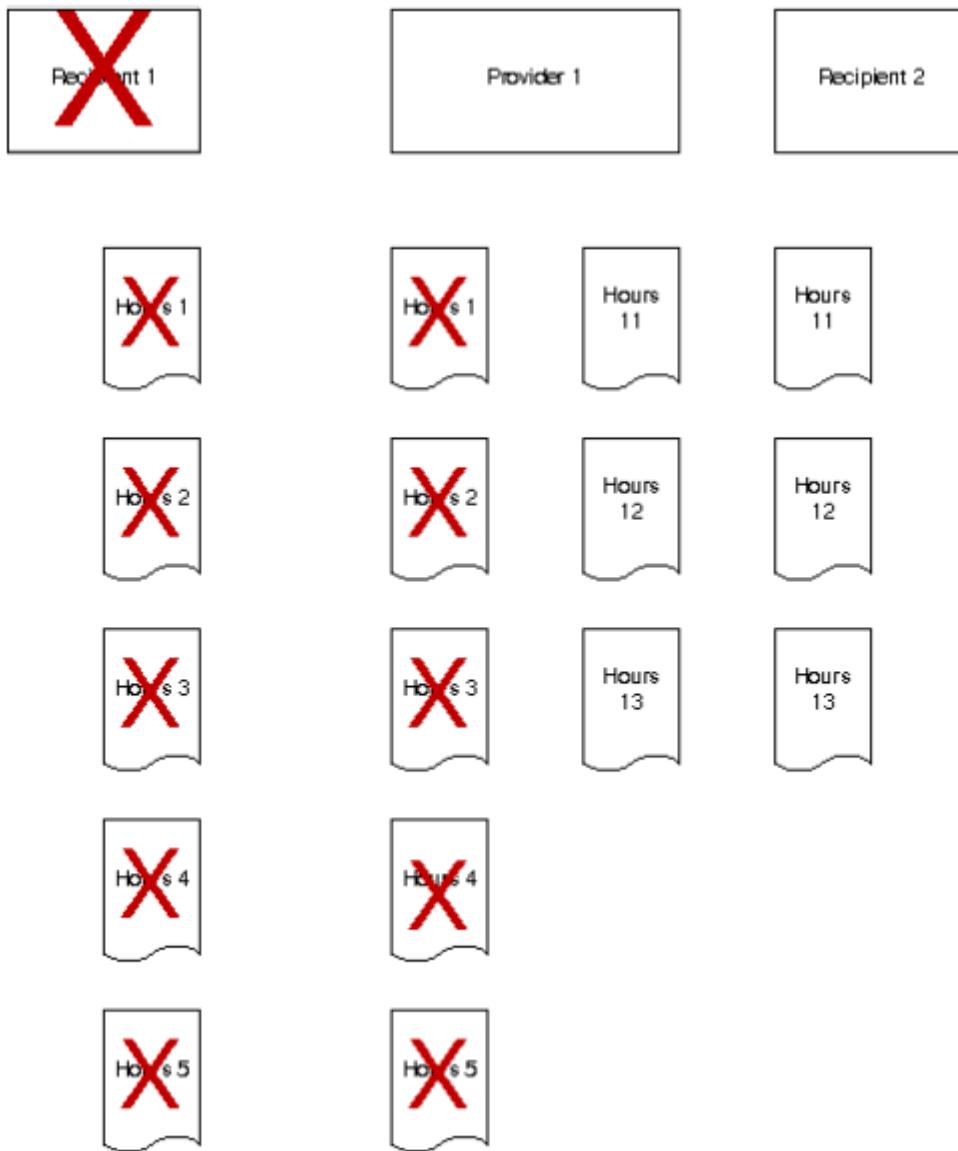


**Figure – Criteria Selection Example**

The Purge a Recipient with Full History figure below demonstrates the logic for removing a complete record of Recipient and Provider information in both Case Management (Cúram) and Payroll (Advantage).

| Recipient 1 | Provider 1 | Recipient 2 |
| --- | --- | --- |

| Hours 1 | Hours 1 | Hours 11 | Hours 11 |
| --- | --- | --- | --- |
| Hours 2 | Hours 2 | Hours 12 | Hours 12 |
| Hours 3 | Hours 3 | Hours 13 | Hours 13 |
| Hours 4 | Hours 4 | | |
| Hours 5 | Hours 5 | | |

**Figure – Purge a Recipient with Full History**

The following steps will be executed as part of the monthly logical delete process:

1. After the external and internal interface batch jobs are complete, a batch job will be run against the Reporting Database to evaluate cases for logical delete eligibility based on the following criteria:
   a. If the latest Case Status is Terminated with an effective date 90 days or more in the past

   AND the DateRecipientTerminated is NOT equal to Termination Date + 90 days
   Set the DateRecipientTerminated to the case Termination Date + 90 days
   Set the DateProvidersTerminated to the case Termination Date + 90 days
   If the latest Case Status is NOT Terminated with an effective date 90 days or more in the past
   AND the DateRecipientTerminated is NOT null
   Set the DateRecipientTerminated to Null
   Set the DateProvidersTerminated to Null
   Set the DateRecipientWarrantCashed to null
   Set the DateProvidersWarrantCashed to null
   Set the DateRecipientNoRecoveryAction to null
   Set the DateProvidersNoRecoveryAction to null
   Set the DateProvidersNoOutstandingEstateRecoveryActions to null
   Set the DateRecipientNoPayments90Days to null
   Set the DateProvidersNoPayments90Days to null
   Set the DateNoAssignedProviders to null
   Set the DateRecipientTaxFilingsCompleted to null

Set the DateProvidersTaxFilingsCompleted to null
Set the DateNoPayrollActions to null

b. If DateRecipientTerminated is NOT null

AND all Payments associated with the case are in a status of Cleared OR Void OR Paid with a Stale Date indicated
AND the DateRecipientWarrantCashed is NOT equal to the latest payment Status Date
Set the DateRecipientWarrantCashed to the latest payment Status Date
Set the DateProvidersWarrantCashed to the latest payment Status Date
If DateRecipientTerminated is NOT null
AND all Payments associated with the case are NOT in a status of Cleared OR Void OR Paid with a Stale Date indicated
AND the DateRecipientWarrantCashed is NOT null
Set the DateRecipientWarrantCashed to null
Set the DateProvidersWarrantCashed to null

c. If DateRecipientTerminated is NOT null

AND all Overpayments associated with the case are in a status of Closed OR Cancelled OR Unavailable OR Stopped
AND the DateRecipientNoRecoveryAction is NOT equal to either the Last Update Date or the Stopped Date, whichever is later
Set the DateRecipientNoRecoveryAction to either the Last Update Date or the Stopped Date, whichever is later
Set the DateProvidersNoRecoveryAction to either the Last Update Date or the Stopped Date, whichever is later
Set the DateProvidersNoOutstandingEstateRecoveryActions to either the Last Update Date of the overpayment recovery record or the Stopped Date, whichever is later
If DateRecipientTerminated is NOT null
AND all Overpayments associated with the case are NOT in a status of Closed OR Cancelled OR Unavailable OR Stopped
AND the DateRecipientNoRecoveryAction is NOT null
Set the DateRecipientNoRecoveryAction to null
Set the DateProvidersNoRecoveryAction to null
Set the DateProvidersNoOutstandingEstateRecoveryActions to null

d. If DateRecipientTerminated is NOT null

AND there are no Payments associated with the case paid within 90 days of the current date
AND the DateRecipientNoPayments90Days is NOT equal to the latest Paid Date+ 90 days
Set the DateRecipientNoPayments90Days to the latest Paid Date + 90 days
Set the DateProvidersNoPayments90Days to the latest Paid Date + 90 days
If DateRecipientTerminated is NOT null
AND there are Payments associated with the case paid within 90 days of the current date
AND the DateRecipientNoPayments90Days is NOT null
Set the DateRecipientNoPayments90Days to null
Set the DateProvidersNoPayments90Days to null

e. If DateRecipientTerminated is NOT null

AND there are no Providers assigned to the case in any status
AND the DateNoAssignedProviders is null
Set the DateNoAssignedProviders to the Begin Date of the Recipient eligibility
If DateRecipientTerminated is NOT null
AND there are no Providers assigned to the case in a status of Active or On Leave
AND the DateNoAssignedProviders is NOT equal to the Begin Date of the latest Provider termination
Set the DateNoAssignedProviders to the Begin Date of the latest Provider termination
If DateRecipientTerminated is NOT null
AND there are Providers assigned to the case in an Active or On Leave status
AND the DateNoAssignedProviders is NOT null
Set the DateNoAssignedProviders to null

f. If DateRecipientTerminated is NOT null

AND there are no payments associated with the case paid in the current year
AND the DateRecipientTaxFilingsCompleted is NOT equal to January 31 of year following the latest Paid Date
Set the DateRecipientTaxFilingsCompleted to January 31 of year following the latest Paid Date
Set the DateProvidersTaxFilingsCompleted to January 31 of year following the latest Paid Date
If DateRecipientTerminated is NOT null
AND there are payments created in the current year
AND the DateRecipientTaxFilingsCompleted is NOT null
Set the DateRecipientTaxFilingsCompleted to null
Set the DateProvidersTaxFilingsCompleted to null

g. If DateRecipientTerminated is not null

AND there are no Payments associated with the case paid within two years of the current date
AND the DateNoPayrollActions is NOT equal to the latest Paid Date + two years
Set the DateNoPayrollActions to the latest Paid Date + two years
If DateRecipientTerminated is NOT null
AND there are Payments associated with the case paid within two years of the current date
AND the DateNoPayrollActions is NOT null
Set the DateNoPayrollActions to null

2. Upon completion of the above batch job, a logical delete batch job against the Reporting Database (Online Archive) will begin and will do the following:
    a. If ALL of the following conditions evaluated in items 1a-1g above were met at least five and a half (5½) years in the past:
        - DateRecipientTerminated
        - DateProvidersTerminated
        - DateRecipientWarrantCashed
        - DateProvidersWarrantCashed
        - DateRecipientNoRecoveryAction
        - DateProvidersNoRecoveryAction
        - DateProvidersNoOutstandingEstateRecoveryActions
        - DateRecipientNoPayments90Days
        - DateProvidersNoPayments90Days
        - DateNoAssignedProviders
        - DateRecipientTaxFilingsCompleted
        - DateProvidersTaxFilingsCompleted
        - DateNoPayrollActions

            AND the SuspendDate is null
            AND the DateAllRecipientConditionsLogicalDel is null
            Set the DateAllRecipientConditionsLogicalDel to the current date
            Set the DateAllProvidersConditionsLogicalDel to the current date

    b. Write the case number to Logical Delete Action table.
    c. Write the Provider number to Logical Delete Action table.
    d. Once the records check is completed, and then export the logical delete file to the internal interface record "Cúram and CGI Advantage Logical Delete" file.
3. The "Cúram and CGI Advantage Logical Delete" file is then transferred via the Web Sphere Process Server to the Cúram and Advantage Databases.
4. The "Cúram and CGI Advantage Logical Delete" file is then processed by Cúram and Advantage separately to perform a logical delete of each record in the Operational Database with one of the following three codes being returned to file a new "Status of Logical Delete" file (with DR_DateAllProviderConditionsPurge and DR_DateAllRecipientConditionsPurge updated when a 01 return code is received and verified with 02 code is received):
    a. 01 = Record logically deleted from the Operational Database
    b. 02 = Record previously logically deleted from the Operational Database
    c. 03 = Record not found in the Operational Database
5. "The Status of Logical Delete" file is then transferred via the Web Sphere Business Process Server back to the Reporting Database.
6. A Logical Delete batch process is then run to update the Cúram and CGI Advantage logical deleted date and code from the internal interface.
7. After both Logical Delete batch jobs have completed updating status, then the Logical Delete Return batch job is run to complete the following:
    a. Delete the record from the Logical Delete Action table if the Cúram and Advantage code is 02.
    b. Set the Reporting Database (Online Archive) record status to Logical Delete
8. Execute the Logical Deleted Statistics and Record Report.

# DSD 7/Architecture – Data Retention/Data Retention Topic Area/Monthly Purge Process

| CI | Document Name |
|---|---|
| **CI-69415** - DSD BF Monthly Purge Process  IMPLEMENTED | DSD_BF_Monthly_Purge_Process.doc |

A monthly batch job will purge data from Cúram, Advantage and Business Objects databases at a total of seven and a half (7½) years past the expiration date (refer to Section 7.1.1 regarding expiration date).

The following steps are performed to verify records meeting criteria are purged from the Operational and Reporting Databases:

1. Upon completion of the logical delete batch job, a purge batch job on the Reporting Database (Online Archive) will be begin that will do the following:
    a. Check for the Cúram and CGI Advantage logical deleted date: (DateAllProviderConditionsLogicalDel and DateAllRecipientConditionsLogicalDel) for a date over two years old, a Code of 02, and a suspend date of null. (Reference section 7.1.1 Monthly Logical Delete Process for more information on what fields store this data.)
    b. Export the logical delete file to the internal interface record "Cúram and CGI Advantage Purge" file after the Reporting Database records are processed.
2. The "Cúram and CGI Advantage Purge" file is then transferred via the Web Sphere Process Server to the Cúram and Advantage Databases.
3. The "Cúram and CGI Advantage Purge" file is then processed by Cúram and Advantage separately to perform a purge of the records in the Operational Database with one of the two following codes being returned to file a new "Status of Purge" file(with DR_DateProviderPurged and DR_DateRecipientPurged updated appropriately):
    a. 03 = Record not found in the Operational Database
    b. 04 = Record Purged from the Operational Database
4. The "Status of Purged" file is then transferred via the Web Sphere Business Process Server back to the Reporting Database.
5. A batch file is then run to update the Cúram and CGI Advantage purged date and code from the internal interface.
6. After both batch jobs have completed updating status, then a batch job is run to complete the following:
    a. Delete record from the Purged Action table if the Cúram and Advantage code is 03.
    b. Update the Purged Record table with the Provider or Recipient number and the date of the purge.
    c. Set the Reporting Database (Online Archive) record status to purge.
    d. Delete the records.
7. Execute the Purge Statistics and Record Report.

# DSD 7/Architecture – Data Retention/Data Retention Topic Area/Scenarios of Data Retention

Below describes the Data Retention Rules and how they are applied to File Back-up Processes, Log File Scenario, Audit File Scenario, Case and Payroll File Scenario, Report File Scenario, Interface File Scenario, ETL File Scenario, and Correspondence File Scenario.

## File Back-up Processes

The services provided by the California Department of Technology (CDT) for the Online Operational and Online Archive are:

1. The weekly full function backup completed on the weekend after the batch process cycle completes successfully, but prior to any deletion batch processes. (Weekly full function backup files are operational files and therefore are retained for seven (7) weeks as required for operational files.)
2. The daily incremental backups of database changes are completed at the end of each nightly batch process. (Daily backup files are operational files and therefore will be retained 49 days as required for operational files.)
3. The backup files are written to online storage, copied to tape daily and then shipped to Iron Mountain daily.
4. These tapes are then moved offsite to Iron Mountain for 30-day storage.
5. After 30 days, the tapes are returned and reused.

For files in the directory structure, the backup runtime will compress the files as they are copied to tape.

Incremental nightly backups will run to extract the daily updated records, daily deleted records or newly added records. The files created from the extract will be compressed. Then the files will be backed up to tape just like the files that regularly reside on the file system.

A full functional backup copies the files after compression to tape. This is described in detail in the Operations Manual.

Backup file retention periods are:

- Full Functional (Weekly) will be kept seven (7) generations.
- Incremental (Daily) backups will only be kept 43 to 49 generations to align with weekly full functional retention. They are stored offsite for DR purposes and returned from Iron Mountain after 30 days, then scratched according to their expiration date.

## Log File Scenario

## Production

**Table – Cúram Directory Structure – Production**

| PROD | /webApps/cmips2Cúram | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
|---|---|---|
| | /webStage/cmips2Cúram | Staging builds for code deploys |
| | /webLogs/cmips2Cúram | Application and Middleware Logs location |

The log files start at mount point /WebLogs/cmips2Cúram.

Daily log files are loaded into files called Cúram-prod-\[date\], was-Cúram-prod-\[date\], batch-Cúram-prod-\[date\], perf-Cúram-prod-\[date\] and bp-Cúram-prod-\[date\].

Each night after midnight these log files are moved to a subdirectory called /history and are imported and transformed into the BusinessObjects Database. This data is then combined with other metadata.

Nightly, weekly, monthly, quarterly and annual reports are run based on current SOW requirements and/or future requirements.

After 45 days, the log files are deleted.

After seven and a half (7½) years, the BusinessObjects Record Source Data will be deleted. The archived tape files will be kept for an additional two years. Data may also be restored from the offline archive.
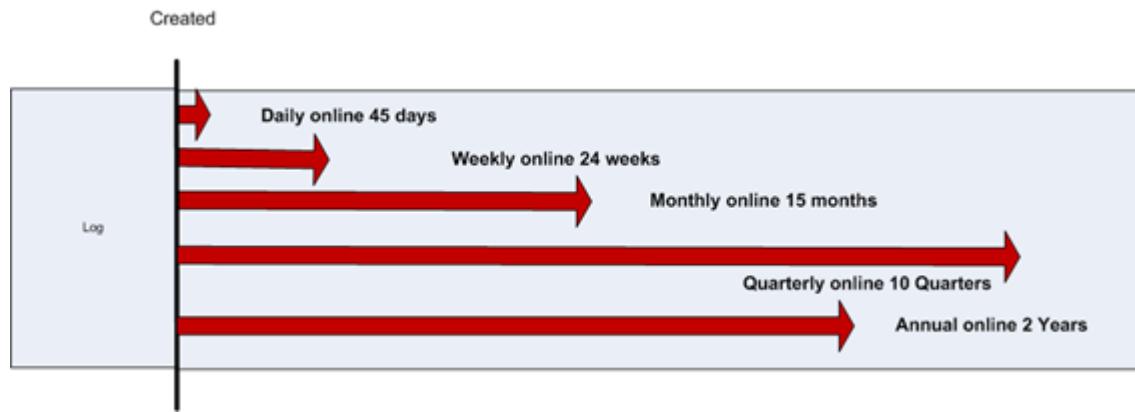
**Figure – CMIPS Log Files – Prod**
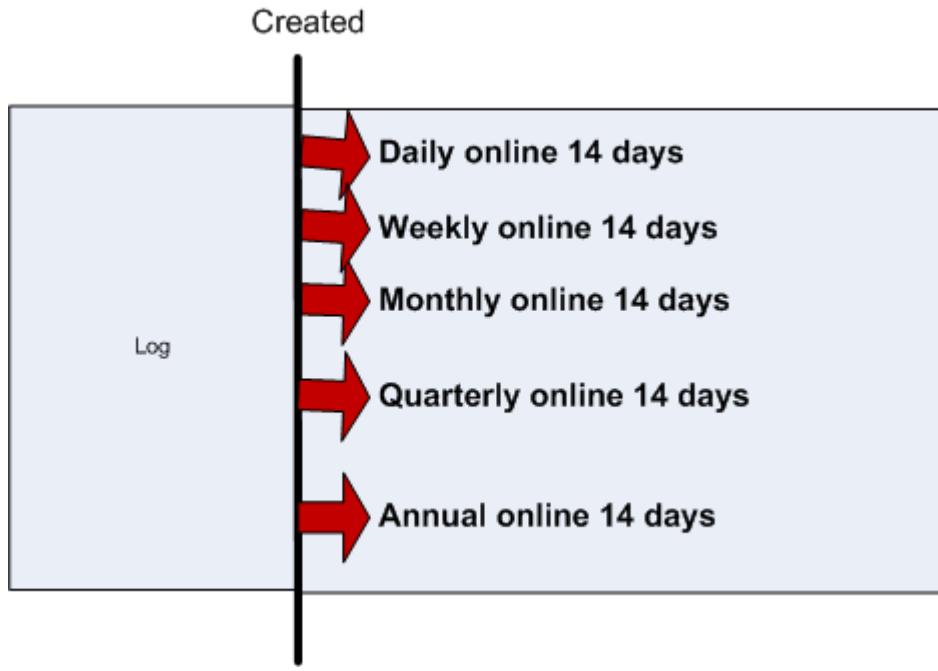
# Test

The same processes and procedures will be adhered to in the non-production environments; however, the files in the non-production environments are retained for only 14 days.

**Table – Cúram Directory Structure – Non Production**

| | | |
|---|---|---|
| **PERF-STRESS** | /webApps/perf/cmips2Cúram | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
| | /webStage/perf/cmips2Cúram | Staging builds for code deploys |
| | /webLogs/perf/cmips2Cúram | Application and Middleware Logs location |
| **INTEGRATION** | /webApps/intg/cmips2Cúram | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
| | /webStage/intg/cmips2Cúram | Staging builds for code deploys |
| | /webLogs/intg/cmips2Cúram | Application and Middleware Logs location |
| **FUNCTIONAL** | /webApps/func/cmips2Cúram | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
| | /webStage/func/cmips2Cúram | Staging builds for code deploys |
| | /webLogs/func/cmips2Cúram | Application and Middleware Logs location |
| **REGRESSION** | /webApps/regr/cmips2Cúram | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
| | /webStage/regr/cmips2Cúram | Staging builds for code deploys |
| | /webLogs/regr/cmips2Cúram | Application and Middleware Logs location |
| **UAT** | /webApps/uat/cmips2Cúram | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
| | /webStage/uat/cmips2Cúram | Staging builds for code deploys |
| | /webLogs/uat/cmips2Cúram | Application and Middleware Logs location |
| **TRAINING** | /webApps/trng/cmips2Cúram | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
| | /webStage/trng/cmips2Cúram | Staging builds for code deploys |
| | /webLogs/trng/cmips2Cúram | Application and Middleware Logs location |

The files in the non-production environments are retained for 14 days.

**Figure – CMIPS Log Files – Non-Production**

The log files start at mount point /WebLogs/[Instance name]/cmips2Cúram.

Daily log files are loaded into files called Cúram-[Instance name]-[date], was-Cúram-[Instance name]-[date], batch-Cúram-[Instance name]-[date], perf-Cúram-[Instance name]-[date] and bp-Cúram-[Instance name]-[date].

Each night after midnight, these log files are moved to a subdirectory called /history and imported and transformed into the BusinessObjects Database. This data is then combined with other metadata.

Nightly, weekly, monthly, quarterly and annual reports are run based on System Design and/or future requirements.

After 14 days the log files are deleted.

After System Design the BusinessObjects Record Source Data will be deleted.

# Development

This section describes the data retention and backup processes for the development environment.
**Table – Cúram Directory Structure – Development**

| DEV | /webApps/cmips2Cúram | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
|---|---|---|
| | /webStage/cmips2Cúram | Staging builds for code deploys |
| | /WebLogs/cmips2Cúram | Application and Middleware Logs location |

The log files start at mount point /WebLogs/[Instance name]/cmips2Cúram.
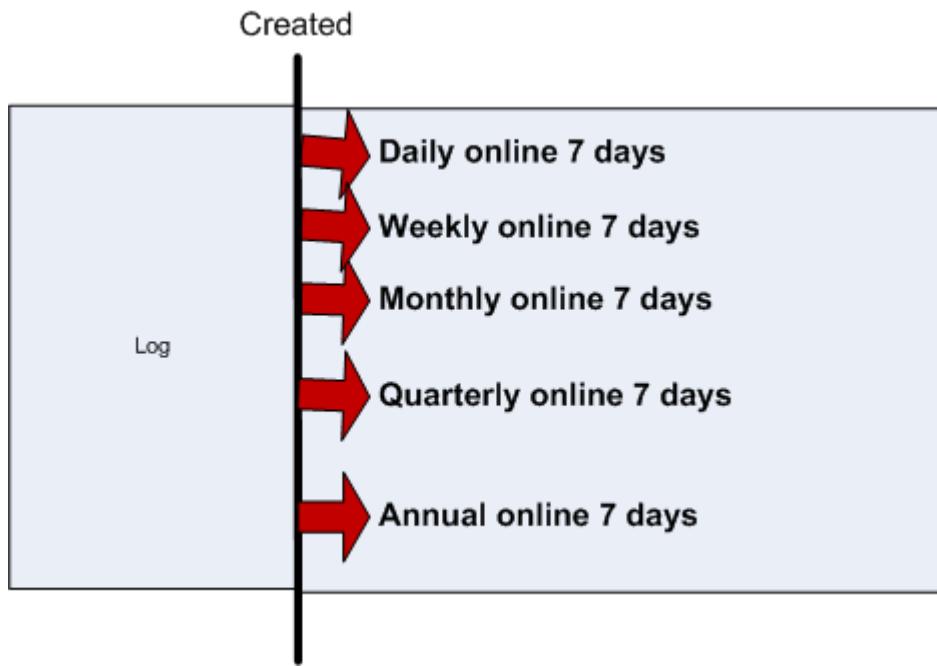
Daily log files are loaded into files. Filenames are formatted as Cúram-dev-[date], Was-Cúram-dev-[date], Batch-Cúram-dev-[date], Perf-Cúram-dev-[date] and Bp-Cúram-dev-[date] where [date] is the current date.

Each night after midnight these log files are moved to a subdirectory called /history and imported and transformed into the BusinessObjects Database. This data is then combined with other metadata.

Nightly, weekly, monthly, quarterly and annual reports are run based on current Development Schedule requirements and/or future requirements.

After seven days, the log files are deleted.

After development evolution the BusinessObjects Record Source Data will be deleted.

**Figure – CMIPS Log Files – Dev**

# Audit File Scenario:

Cúram and CGI Advantage:

Audit files are extracted records from the Cúram database for items associated with Audit of Cúram Business Processes and Security.

Audit files associated with the administration of WebSphere middleware are kept in was-Cúram-prod-[date] or was-CGIAdv-prod-[date] and follow the procedures in the Log File Scenario.

Audit files associated with the administration of AIX and LPARs are maintained in the OS log structure and follow the above log file procedures.

The Audit extract files in the file system will be kept one year.

Nightly, an extract will run against the Cúram and CGI Advantage database to copy associated daily audit records from the database. This file will be stored at /webLogs/prod/cmips2Cúram/ETL and /webLogs/prod/cmips2CGIAdv/ETL. This extract will then be imported and transformed into the BusinessObjects database.

After importing batch execution, the Extract file will be moved to /webLogs/prod/cmips2Cúram/ETL/history and /webLogs/prod/cmips2CGIAdv/ETL/history. After 45 days file will be deleted from the file system.

Nightly, weekly, monthly, quarterly and annual reports are then run based on current requirements.

The audit files in Cúram and CGI Advantage Database will remain as Cúram and CGI Advantage database records which is seven and a half (7½) years past meeting the criteria of purging.

The BusinessObjects Record Source Data will be deleted after seven and a half (7½) years past meeting the criteria for purging.
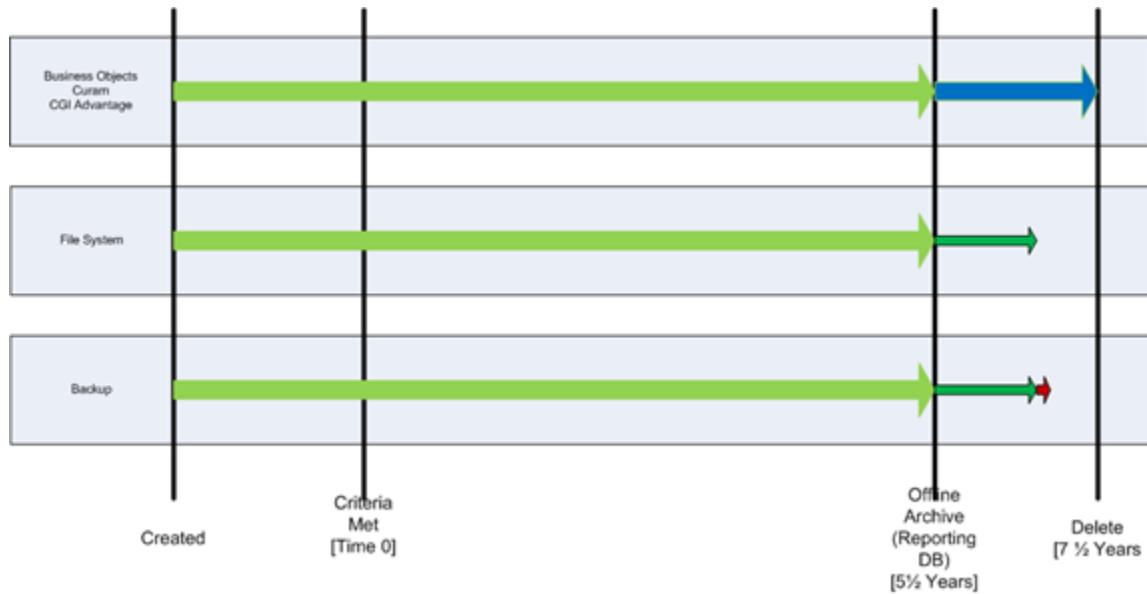
**Figure – CMIPS BusinessObjects**

- Light Green: Normal operational files in the operational database
- Dark Green: Audit extracts retained on backup tapes for one year past the logical deletion of the files in the database
- Red: Back up records of the files
- Dark Blue: Logical deleted files in the operational database but restoration is possible

# Case and Payroll File Scenario:

Case files are records in Cúram.

Nightly an extract will run against the Cúram database to copy associated daily case records from the database. This file will be stored at /webLogs/prod/cmips2Cúram/ETL. This extract will then be imported and transformed into metadata in the BusinessObjects Database (Online Archive).

After importing batch execution, the Extract file will be moved to /webLogs/prod/cmips2Cúram/ETL/history for retention for 45 days and then deleted.

Nightly, weekly, monthly, quarterly and annual reports are then run based on current requirements.

Monthly, a batch job will run to evaluate case records against expired SyRS Criteria:

Operational Data shall be kept online until the following criteria are met (as defined in issue resolution of the data being kept and purged when the criteria are met):
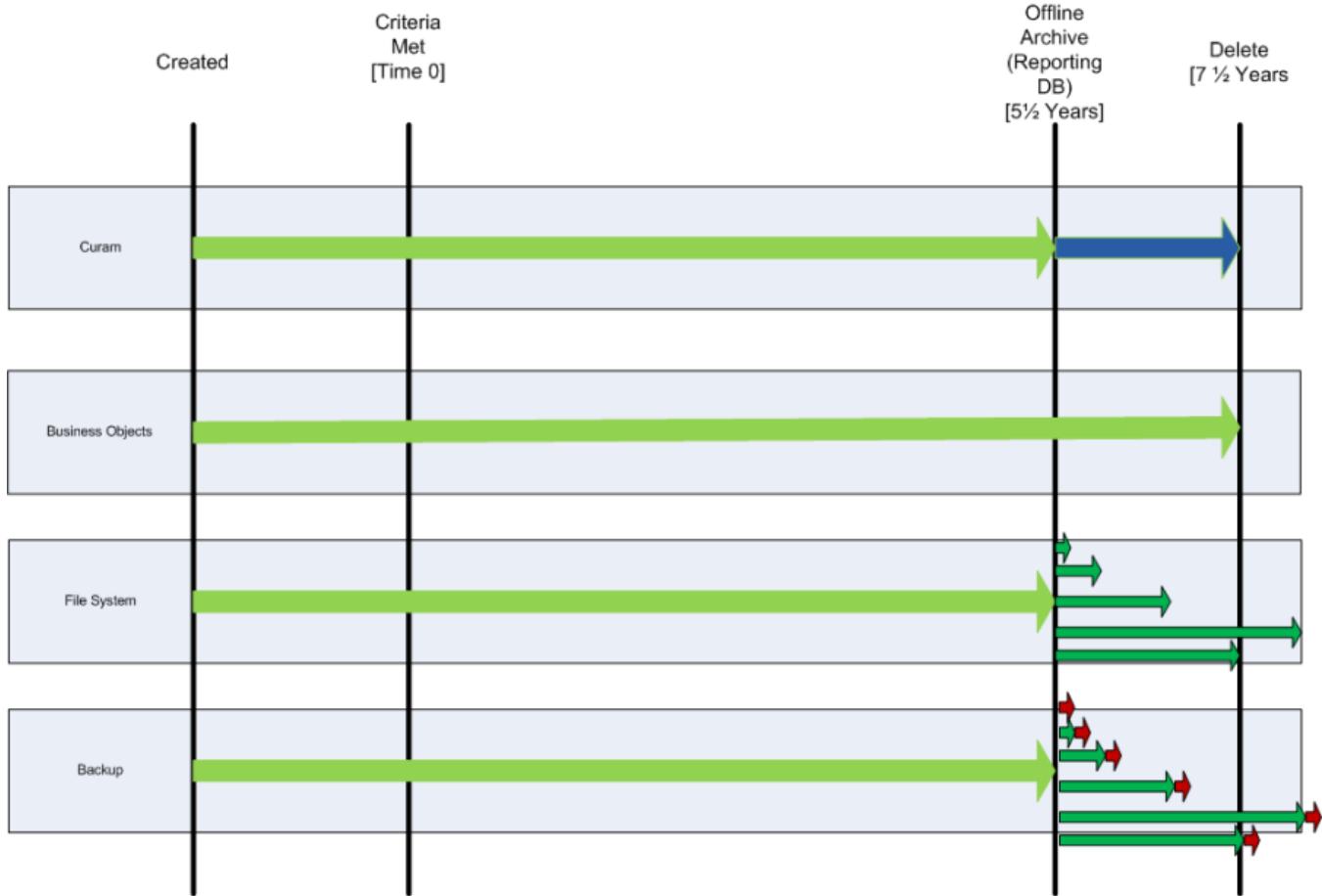
1. Recipient Case Data is eligible to offline archive five and a half (5½)years after the following criteria:
    a. The Recipient has been terminated for at least 90 days.
    b. The warrants associated with the Recipient have been cashed, voided, or are stale dated.
    c. There are no outstanding CMIPS recovery actions for the Recipient.
    d. No payments have been made to the Recipient for at least 90 days.
    e. The Recipient has no assigned Providers.
    f. CMIPS required tax filings related to payments to the Recipient's Providers are complete.
2. Provider Data is eligible to offline archive five and a half (5½) years after the following criteria:
    a. The Provider has been terminated for at least 90 days.
    b. The warrants associated with the Provider have been cashed, voided, or are stale dated (including lien warrants).
    c. There are no outstanding CMIPS recovery actions for the Provider.
    d. No payments have been made to the Provider for at least 90 days.
    e. Where appropriate, the Provider has had the CMIPS required tax filings made to cover their payments.
3. Payroll Data is eligible to offline archive five and a half (5½) years after the following criteria:
    a. Payroll data shall be kept online for a period of two years after creation.

An extract file is used to set the expiration date in the BusinessObjects Metadata Source Records once the criteria are met.

A monthly batch job will run to logically delete data from the Cúram and Advantage databases after five and a half (5½) years past the expiration date. The data that has been logically deleted, but not yet purged can be re-activated (logically un-deleted).

A monthly batch job will also purge data from Cúram, Advantage and BusinessObjects databases at a total of seven and a half (7½) years past the expiration date.

A single record or the entire process can be stopped at the request of California Department of Social Services (CDSS) Project Manager.



**Figure – CMIPS Purge**

- Light Green: Normal operational files in the Operational Database
- Dark Green: Audit extracts retained on backup tape for one year past the logical deletion of the files in the database
- Red: Backup records of the files
- Dark Blue: Logical deleted files in the Operational Database but restoration is possible

# Report File Scenario:

**Table – Directory Structure – Report File Locations**

| PROD | /webApps/prod/cmips2BO | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
|------|------------------------|-------------------------------------------------------------------------------|
|      | /webStage/prod/cmips2BO | Staging builds for code deploys |
|      | /webLogs/prod/cmips2BO | Application and Middleware Logs location |

The Report files start at mount point /WebLogs/prod/cmips2Cúram/Reports.

Each night after midnight these reports file are created and stored by the report repository files structure controlled by BusinessObjects.

Reports are scheduled for deletion from the BusinessObjects server based on the following:

- Annual – Seven generations
- Quarterly – 12 generations
- Monthly – 15 generations
- 2nd Sunday of the month – 15 generations
- 3rd Friday of the month – 15 generations
- Bi-Monthly – 12 generations
- Weekly – 24 generations
- Bi-Weekly – 18 generations
- Daily – 45 generations

The report may be regenerated from source data, but additional research may be required since data may have changed.

Source data is deleted based on criteria associated with the type of data, but in all cases the data is maintained for a minimum of seven and a half (7½) years from the origination.
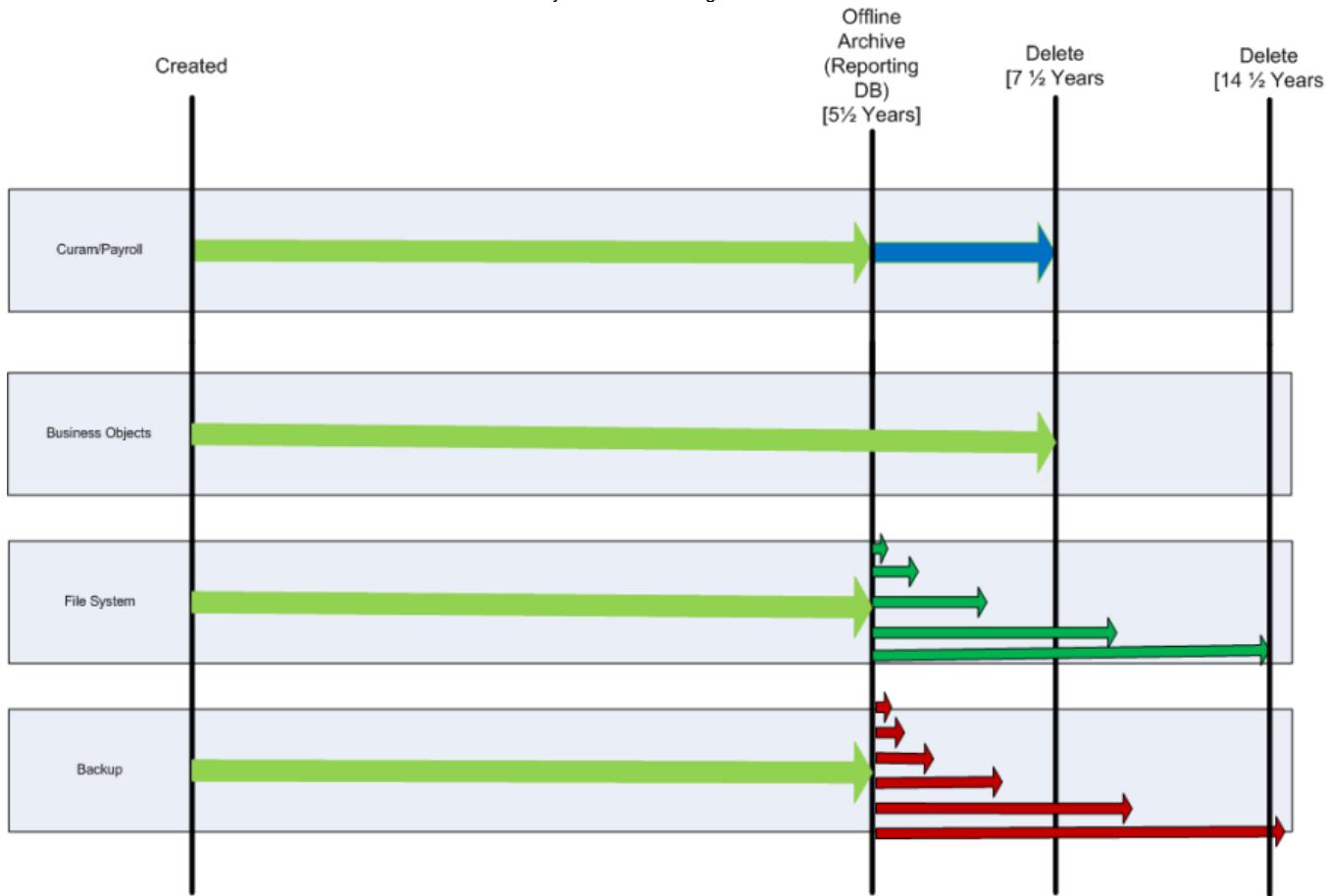


**Figure – CMIPS BusinessObjects**

- Light Green: Normal operational files in the Operational Database
- Dark Green: Audit extracts retained one year past the logical deletion of the files in the database
- Red: Backup records of the files
- Dark Blue: Logical deleted files in the Operational Database but restoration is possible

# Interface File Scenario:

**Table – Directory Structure – Interface File Location**

| PROD | /webApps/prod/cmips2BIS | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
|------|-------------------------|-------------------------------------------------------------------------------|
|      | /webStage/prod/cmips2BIS | Staging builds for code deploys |
|      | /webLogs/prod/cmips2BIS | Application and Middleware Logs location |

The Report files start at mount point /WebLogs/prod/cmips2BIS/interface.

Each night after the Online Availability Window has closed, these interface file are created, received, processed and stored by the respective communication protocol configured and batch process in Business Integration Servers (BIS).

After each file is processed it is moved to a /history directory as the final step in the batch process.

Interfaces files are deleted from the /history directory after:

- Annual – Two generations
- Quarterly – 10 generations
- Monthly – 15 generations
- Weekly – 24 generations
- Daily – 45 generations

If an exception or error is found, the deletion of the interface files can be suspended by stopping the batch routine that deletes the files, either external or internal, that are greater than 45 days old until the problem is resolved and corrected.

Created
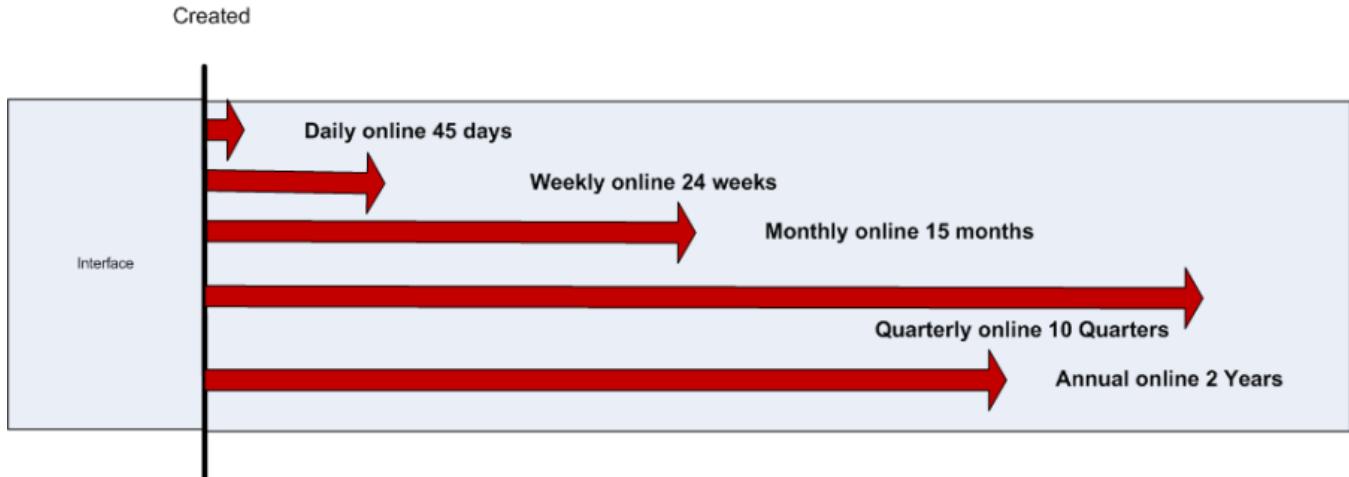


**Figure – CMIPS Interface**

# ETL File Scenario:

**Table – File Locations ETL**

| PROD | /webApps/prod/cmips2BIS | WebSphere, HTTP Server, Cúram, Advantage, Microfocus, Cosort, Versata runtime |
|---|---|---|
| | /webStage/prod/cmips2BIS | Staging builds for code deploys |
| | /webLogs/prod/cmips2BIS | Application and Middleware Logs location |

The ETL files (or Batch) start at mount point /WebLogs/prod/cmips2BIS/ETL.

Each night after the Online Availability Window has closed, these interface files are created, processed and stored by the respective batch process in Business Integration Servers.

After each file is processed, it is moved to a/history directory as the final step in the batch process.

ETL files are deleted from the /history directory after:

- Annual – Two generations
- Quarterly – 10 generations
- Monthly – 15 generations
- Weekly – 24 generations
- Daily – 45 generations

Created
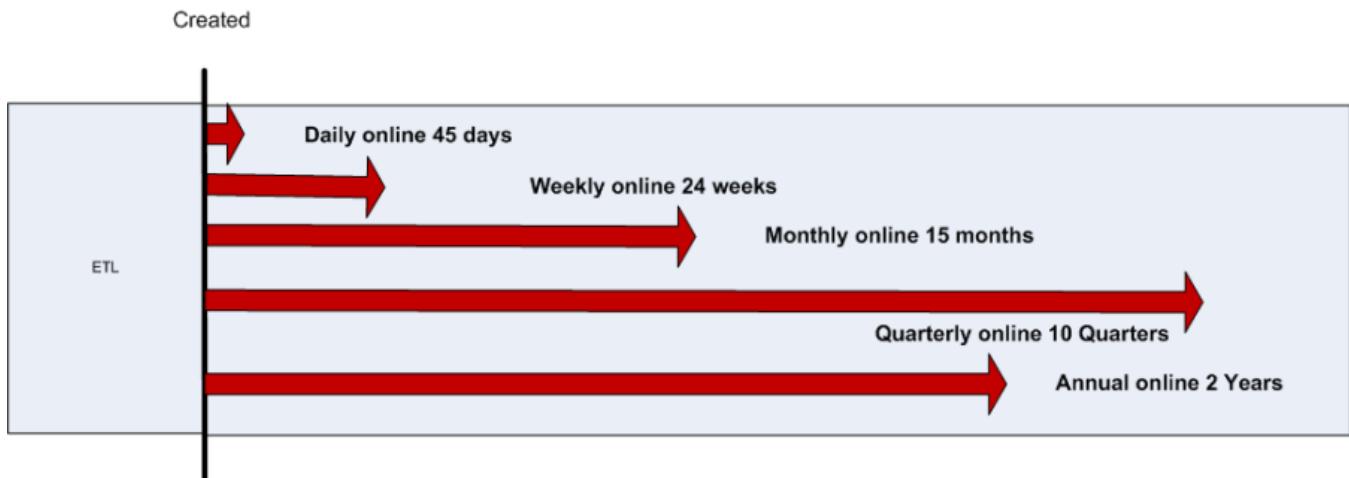


**Figure – CMIPS ETL**

# Correspondence File Scenario:

Image only (NOA, letters, etc.).

Metadata and source data about the correspondence is covered under the Cúram Case File scenario.

Correspondence files are case records in the Cúram database; therefore, correspondence will follow the case information process discussed above.
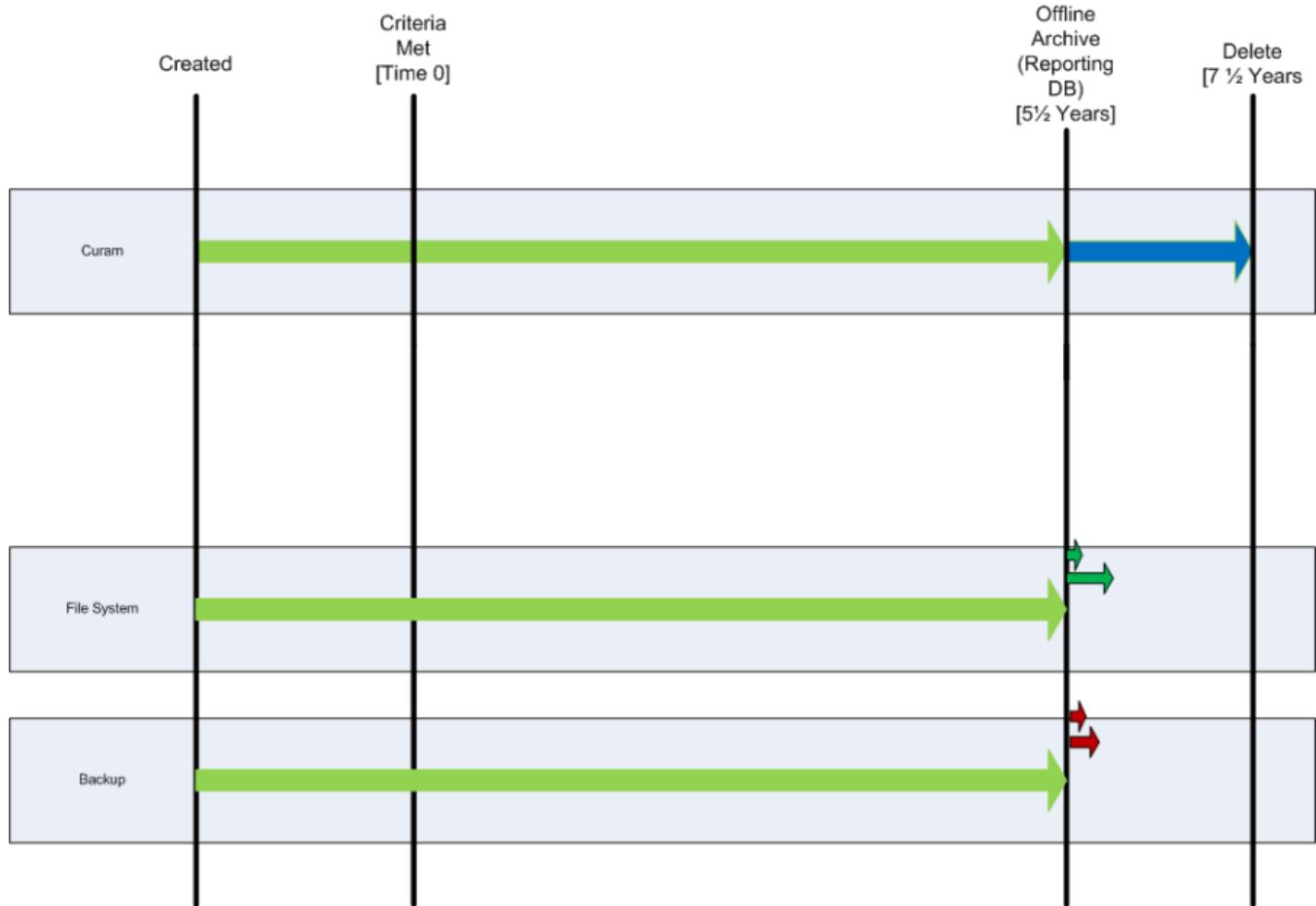


**Figure – CMIPS Purge Overview**

- Light Green: Normal operational files in the Operational Database
- Dark Green: Audit extracts retained one year past the logical deletion of the files in the database
- Red: Backup records of the files
- Dark Blue: Logical deleted files in the Operational Database but restoration is possible

# DSD 7/Architecture – Data Retention/Business Process

The following business process function covers the life cycle from the Design, Development and Implementation (DDI) and Maintenance and Operations (M&O) phases. The business functions are broken down into the following descriptive areas with associated information or a statement that the area does not impact Data Retention.

# DSD 7/Architecture – Data Retention/Business Process /Business Process Functions

| CI | Document Name |
|---|---|
| **‹›** **CI-117906** - DSD BF Data Retention  IMPLEMENTED | DSD_BF_Data_Retention.doc |

Operational data is online data in the respective applications and file structure that is updated in real time.

Online Archive data is operational data that has been extracted from the CMIPS application and moved to the COTS BusinessObjects application nightly for reporting.

The two-year requirement for data retention in an Offline Archive will be met with the Online Archive which is using the COTS BusinessObjects Repository – Reporting Database (Online Archive).

Operational files will be retained for following generations based upon their run frequency:

- Annual – Two generations
    - With the exception of:
        - Electronic reports produced from BusinessObjects, which will be kept seven (7) generations
- Quarterly – 10 generations
- Monthly – 15 generations
- Weekly – 24 generations
    - With the exception of:
        - Weekly full function (database and file system) backups, which will be kept seven (7) generations
        - XML and other Audit files will be kept for one year
- Daily – 45 generations
    - With the exception of:
        - Daily incremental function (database and file system) backups will only be kept 43 to 49 generations to maintain synch with weekly generations, and will always be able to take the last weekly full functional and combine with the daily incremental to recover the system
        - Audit files will be kept for one year

Operational data will be kept online until the criteria are met as described in the Case and Payroll File Scenario sub-section of Scenarios of Data Retention.

The Data Retention DSD does not have any screen designs.

# DSD 7/Architecture – Data Retention/Business Process /Error Messages

The Data Retention DSD does not have any error messages.

# DSD 7/Architecture – Data Retention/Business Process /Business Rules

| ID | CI | Requirement ID | Description | When | Action |
|---|---|---|---|---|---|
| 1 | **‹› CI-111287** - DSD BR DR 01 [IMPLEMENTED] | 12810 | Rules for Logical Delete (move data to Online Archive) | Operational Data shall be kept online until all of the following criteria are met: a. Recipient Case Data is eligible to offline archive 5 ½ years after all of the following criteria: i. The Recipient has been terminated for at least 90 days. ii. All warrants associated with the Recipient have been cashed, voided, or are stale dated. iii. There are no outstanding CMIPS recovery actions for the Recipient. iv. No payments have been made to the Recipient for at least 90 days. v. The Recipient has no assigned Providers. vi. CMIPS required tax filings related to payments to the Recipients Providers are complete. b. Provider Data is eligible to offline archive 5 ½ years after all of the following criteria: i. The Provider has been terminated for at least 90 days. ii. All warrants associated with the Provider have been cashed, voided, or are stale dated (including lien warrants). iii. There are no outstanding CMIPS recovery actions for the Provider. iv. No payments have been made to the Provider for at least 90 days. v. Where appropriate, the Provider has had all CMIPS required tax filings made to cover their payments. c. Payroll Data is eligible to offline archive 5 ½ years after all of the following criteria: ii. Payroll data shall be kept online for a period of two (2) years after creation. | Logically delete data when all conditions are met |
| 2 | **‹› CI-111288** - DSD BR DR 02 [IMPLEMENTED] | 12811 | Rules for Purging data | When data has had a status of Online Archive for two years. | Purge Data |

# DSD 7/Architecture – Data Retention/Business Process /Tasks/Notifications

The Data Retention DSD does not have any tasks or notifications.

# DSD 7/Architecture – Data Retention/Business Process /Internal Interfaces

The Data Retention DSD does not have any internal interfaces.

# DSD 7/Architecture – Data Retention/Business Process /External Interfaces

The Data Retention DSD does not have any external interfaces.

# DSD 7/Architecture – Data Retention/Business Process /Batch Processing

| Batch Process Name | CI | Description | Estimated Size (Records) | Frequency | Send Receive Maintenance | Relative Sequence |
|---|---|---|---|---|---|---|
| DSD_BTCH_DataRetention_Evaluation | CI-116672 - DSD BTCH Data Retention Evaluation IMPLEMENTED | Determine if the Data Retention Rules have been satisfied | All Report Database Records | Monthly | Maintenance | 2 |
| DSD_BTCH_Logical_Deletion | CI-116673 - DSD BTCH Logical Deletion IMPLEMENTED | Logically Delete all records from Cúram and Advantage Databases that meet the criteria | Records meeting criteria and submitted to table | Monthly | Send to Cúram Database and Advantage Database | 3 |
| DSD_BTCH_Purge | CI-116674 - DSD BTCH Purge IMPLEMENTED | Purge all records from Cúram, Advantage and Report Databases that meet the criteria | Records meeting criteria and submitted to table | Monthly | Send to Cúram Database, Advantage Database and to Report Database | 4 |
| DSD_BTCH_Activate | CI-116668 - DSD BTCH Activate IMPLEMENTED | Change status on all files in Cúram and Advantage to Active – Remove from logical delete status | Records meeting criteria and submitted to table | Daily | Send to Cúram Database and Advantage Database | 1 |

# DSD 7/Architecture – Data Retention/Business Process /Application Security Roles

| CI | Document Name |
|---|---|
| ◇ **CI-117880** - DSD SecRoles Application Security Roles  IMPLEMENTED | DSD_SecRoles_Application_Security_Roles.doc |

The following table describes the security roles in the CMIPS Application.

| CMIPS, Core Business Process Listing | County Position(s) (e.g. Social Worker, Payroll Clerk, etc.) | Business Objects Security Role | CMIPS II Web Portal |
|---|---|---|---|
| System Administration and Program Management | | | |
| Add, assign and terminate user access | Security Administrator | Security Administrator | Security Administrator |
| Oversight of Security (monitor intrusion, reporting, audit ability) (for separation of roles, not an IHSS Program person) Add, assign and terminate user access | Security Officer | Security Officer | Security Officer |
| State Only | | | |
| | | | |
| Data Analysis State | NA | CDSS-DA | Query and Sampling |
| Program Management and QA | NA | CDSS-PM | Query and Sampling |
| Data Download | | | |
| Data Analysis County | Data Analysis | Data Download | Query and Sampling |

# DSD 7/Architecture – Data Retention/Business Process /Reporting

Data Retention reports are located in DSD Section 28.

# DSD 7/Architecture – Data Retention/Business Process /Forms

Not applicable.

# DSD 7/Architecture – Data Retention/Code Table Definitions

Not applicable.

# DSD 7/Architecture – Data Retention/Database Entities

# DSD 7/Architecture – Data Retention/Database Entities/Data Retention Reporting Data Elements

The list below displays the Data Retention Reporting Elements used in the Logical Deleted Statistics and Record Report, Statistics and Records in Suspended Logical Delete and Purge Report, Records Restored from Online Archive Report, Histogram of Records awaiting Online Archive by Quarter and Purged Records Report.

| Report Name | Report Element | Data Type - Source of Data | Table | Column Name |
|---|---|---|---|---|
| Logical Deleted Statistics and Record | Case ID | Number from Cúram | DR_Logical_Delete | DR_CaseID |
| Logical Deleted Statistics and Record | Provider ID | Number from Cúram | DR_Logical_Delete | DR_ProviderID |
| Logical Deleted Statistics and Record | DateRecipientTerminated (change report column header to some logic) | Date | DR_Logical_Delete | DR_DateRecipientTerminated (OLD DateA) |
| Logical Deleted Statistics and Record | DateRecipientWarrantCashed (change report column header to some logic) | Date | DR_Logical_Delete | DR_DateRecipientWarrantCashed (OLD DateB) |
| Logical Deleted Statistics and Record | DateRecipientNoRecoveryAction (change report column header to some logic) | Date | DR_Logical_Delete | DR_DateRecipientNoRecoveryAction (OLD DateC) |
| Logical Deleted Statistics and Record | DateRecipientNoPayments90Days | Date | DR_Logical_Delete | DR_DateRecipientNoPayments90Days (OLD DateD) |
| Logical Deleted Statistics and Record | DateRecipientNoAssignedProviders | Date | DR_Logical_Delete | DR_DateRecipientNoAssignedProviders (OLD DateE) |
| Logical Deleted Statistics and Record | DateRecipientTaxFilingsCompleted | Date | DR_Logical_Delete | DR_DateRecipientTaxFilingsCompleted (OLD DateF) |
| Logical Deleted Statistics and Record | DateProviderNoOutstandingEstateRecoveryActions | Date | DR_Logical_Delete | DR_DateProviderNoOutstandingEstateRecoveryActions (OLD DateG) |
| Logical Deleted Statistics and Record | DateProviderTerminated | Date | DR_Logical_Delete | DR_DateProviderTerminated (OLD DateH) |
| Logical Deleted Statistics and Record | DateProviderWarrantsCashed | Date | DR_Logical_Delete | DR_DateProviderWarrantsCashed (OLD DateI) |
| Logical Deleted Statistics and Record | DateProviderNoRecoveryActions | Date | DR_Logical_Delete | DR_DateProviderNoRecoveryActions (OLD DateJ) |
| Logical Deleted Statistics and Record | DateProviderNoPayments90Days | Date | DR_Logical_Delete | DR_DateProviderNoPayments90Days (OLD DateK) |
| Logical Deleted Statistics and Record | DateProviderWarrantsCashed | Date | DR_Logical_Delete | DR_DateProviderWarrantsCashed (OLD DateL) |
| Logical Deleted Statistics and Record | DateNoPayrollActions | Date | DR_Logical_Delete | DR_DateNoPayrollActions (OLD DateM) |
| Logical Deleted Statistics and Record | DateAllProviderConditionsLogicalDel | Date | DR_Logical_Delete | DR_DateAllProviderConditionsLogicalDel (OLD Date2) |
| Logical Deleted Statistics and Record | DateAllRecipientConditionsLogicalDel | Date | DR_Logical_Delete | DR_DateAllRecipientConditionsLogicalDel (OLD Date3) |
| Logical Deleted Statistics and Record | County | County from Cúram | DR_Logical_Delete | DR_Co |
| Logical Deleted Statistics and Record | Number of Warrants | Warrants from Cúram | DR_Logical_Delete | DR_No_Warrants |
| Logical Deleted Statistics and Record | Services ever received | Y/N from Cúram | DR_Logical_Delete | DR_Service_R |
|  |  |  |  |  |
| Purge Statistics and Records | Provider ID | Number from Cúram | DR_Purge_Delete | DR_ProviderID |
| Purge Statistics and Records | DateAllProviderConditionsPurge | Date of Logical Delete Cúram | DR_Purge_Delete | DR_DateAllProviderConditionsPurge (OLD Date4) |
| Purge Statistics and Records | DateAllRecipientConditionsPurge | Date of Logical Delete CGI Advantage | DR_Purge_Delete | DR_DateAllRecipientConditionsPurge (OLD Date5) |
| Purge Statistics and Records | DateProviderPurged | Date of Purge Cúram | DR_Purge_Delete | DR_DateProviderPurged (OLD Date6) |
| Purge Statistics and Records | DateRecipientPurged | Date of Purge CGI Advantage | DR_Purge_Delete | DR_DateRecipientPurged (OLD Date7) |

| | | | | |
|---|---|---|---|---|
| Purge Statistics and Records | County | County from Cúram | DR_Purge_Delete | DR_Co |
| Purge Statistics and Records | Number of Warrants | Warrants from Cúram | DR_Purge_Delete | DR_No_Warrants |
| Purge Statistics and Records | Services ever received | Y/N from Cúram | DR_Purge_Delete | DR_Service_R |
| | | | | |
| Statistics and Records in Suspended Logical Delete and Purge | CaseID | Case number from Cúram | DR_Suspend | DR_CaseID |
| Statistics and Records in Suspended Logical Delete and Purge | ProviderID | number from Cúram | DR_Suspend | DR_ProviderID |
| Statistics and Records in Suspended Logical Delete and Purge | User ID of initiator | User ID | DR_Suspend | DR_Initiator_Suspend |
| Statistics and Records in Suspended Logical Delete and Purge | Date Suspended | Date | DR_Suspend | DR_Date_Suspend |
| Statistics and Records in Suspended Logical Delete and Purge | Notes | Notes | DR_Suspend | DR_Suspend_Notes |
| | | | | |
| Records Restored from Online Archive | CaseID | Case number from Cúram | DR_Restored | DR_CaseID |
| Records Restored from Online Archive | ProviderID | number from Cúram | DR_Restored | DR_ProviderID |
| Records Restored from Online Archive | User ID of initiator | User ID | DR_Restored | DR_Initiator_Restored |
| Records Restored from Online Archive | Date Restored | Date | DR_Restored | DR_Date_Restored |
| Records Restored from Online Archive | Notes | Notes | DR_Restored | DR_Restored_Notes |
| | | | | |
| Histogram of Records awaiting Online Archive by Quarter | Year | Year of run | DR_History | DR_Year_Run |
| Histogram of Records awaiting Online Archive by Quarter | Month | Month of run | DR_History | DR_Month_Run |
| Histogram of Records awaiting Online Archive by Quarter | Provider Count | Count of Providers | DR_History | DR_Provider_Count |
| Histogram of Records awaiting Online Archive by Quarter | Recipient Count | Count of Recipients | DR_History | DR_Recipient_Count |
| Histogram of Records awaiting Online Archive by Quarter | DateAllProviderConditionsLogicalDel_Count | Count of those with a logical delete date Cúram | DR_History | DR_DateAllProviderConditionsLogicalDel_Count |
| Histogram of Records awaiting Online Archive by Quarter | DateAllRecipientConditionsLogicalDel_Count | Count of those with a logical delete date Advantage | DR_History | DR_DateAllRecipientConditionsLogicalDel_Count |
| Histogram of Records awaiting Online Archive by Quarter | DateAllProviderConditionsPurge_Count | Count of those with a logical delete date Cúram | DR_History | DR_DateAllProviderConditionsPurge_Count |
| Histogram of Records awaiting Online Archive by Quarter | DateAllRecipientConditionsPurge_Count | Count of those with a logical delete date Advantage | DR_History | DR_DateAllRecipientConditionsPurge_Count |
| Histogram of Records awaiting Online Archive by Quarter | DateProviderPurged_Count | Count of those with purge date of Purge Cúram | DR_History | DR_DateProviderPurged_Count |
| Histogram of Records awaiting Online Archive by Quarter | DateRecipientPurged_Count | Count of those with Purge date of Purge CGI Advantage | DR_History | DR_DateRecipientPurged_Count |
| Histogram of Records awaiting Online Archive by Quarter | County | County from Cúram | DR_History | DR_Co |
| Histogram of Records awaiting Online Archive by Quarter | Number of Warrants | Sum_Warrants from Cúram | DR_History | DR_No_Warrants_Sum |
| Histogram of Records awaiting Online Archive by Quarter | Services ever received | Count of N from Cúram | DR_History | DR_Service_R_Count |

| Purged Records Report | CaseID | Case number from Cúram | DR_Purge | DR_CaseID |
| Purged Records Report | Provider | number from Cúram | DR_Purge | DR_ProviderID |
| Purged Records Report | Date Purge | Date | DR_Purge | DR_Date_Purges |

# DSD 7/Architecture – Data Retention/Database Entities /Database Key Relationships

The Data Retention DSD does not have Database Key Relationships across the tables.

# DSD 7/Architecture – Data Retention/Business Class Definitions

Not applicable.