



## Case Data Removal

CalSAWS	DOCUMENT APPROVAL HISTORY	
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DATE	DOCUMENT VERSION	REVISION DESCRIPTION	AUTHOR
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6/22/2022	1.38	Added section for CalHEERS linking flow. Updated Remove Images section	Chris Larson
1/15/2024	2.0	Updated document to include changes post CIV to CalSAWS Migration of Case Purge and implementation for CalSAWS Case Purge 2024 - CA-271043	Hemanth Tadavarthy

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## 1 OVERVIEW

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California county welfare departments are generally governed by the Code of Federal Regulations (CFR) and State of California Welfare and Institutions (W&I) Code. In addition, the Department of Health Care Services (DHCS) and California Department of Social Services (CDSS) publish All County Welfare Directors Letters (ACWDLs), All County Letters (ACLs), and the CDSS Manual of Policies and Procedures (MPP) to give counties added guidance to meet regulations. The CalSAWS Data Retention Policy pertains to the data related to the eligibility programs administered by the Counties and stored within the CalSAWS system. The first data retention policy was approved by Project Steering Committee members during the September 19, 2019 PSC meeting. This approval can be found in the following [Approved Meeting Minutes](#).

The Case Data Removal feature has been initially implemented for the C-IV System, using the Agile methodology and has been migrated to CalSAWS.

This design document will be going through updates as per the latest data retention policies and features are deployed to Production.

### 1.1 Current Design

All the Case and Person related application data will be retained indefinitely in CalSAWS System unless a Case Data Removal process is scheduled. The initial Case Data Removal process for LA and historic CIV counties has occurred in 2022.

### 1.2 Requests

The following are the case record retention guidelines as approved by the Consortium:

- Identify and remove appropriate data from cases which have been closed for 6 years or more.
- There are multiple exceptions to the 6-year rule:
  - Retain cases that currently have open recovery accounts.
  - Retain cases that have any recovery account transactions within 12 months from the date of identification.
  - Retain cases that have a person linked to recovery account transactions on active cases.
  - Retain cases associated with a Special Investigation, Criminal, or Civil Litigation record for three years after the final claim is submitted for federal reimbursement.
  - Retain all cases that include one of the following programs, regardless of program's eligibility status:
    - Adoptions Assistance (AA)
    - Child Protective Services (CPS)
    - Foster Care (FS)
    - Kin-GAP (KG)

- Retain all cases currently under Federal, State, or County Audit until the audit(s) have been resolved.
  - Retain all cases that included an Intentional Program Violation(IPV)
  - Retain all cases that have CalHEERS transactions within 6 years from the date of identification.
- Retain the below application data for purged cases indefinitely.
  - Warrant Register Data
  - Scheduled Reports Data
  - Time Limit Data needs to be retained for the purged cases.  
GAGR Time Limit information for LA county needs to be retained if it is within in 60 months from the date of identification.
- Each case with removed data will remain in the System as a Shell Case. See Section 2.1.1 for details on what data will be retained in Shell Cases.
- Case data removal is permanent. Once a case has been purged, there will be no mechanism for retrieval of data removed from the System. It is NOT an Archive capability.
- Implement Migration DDID 2261 ("The CONTRACTOR shall configure the imaging solution to permanently delete documents based on the approved CalSAWS Software document retention policies for all 58 Counties.").

### 1.3 Overview of Features

The following is a high-level overview of the features that are implemented as part of the Case Data Removal functionality:

- Case Data Removal Detail page for users to view the current dispensation of a Case with regards to whether it is eligible for Removal. This determination is implemented as part of batch job which runs based on the approved schedule.
  - Case Data Removal Identification report to show summary and detailed information regarding Cases identified for Removal.
  - A capability has been created for users to override the Purge decision made, which requires the user to document a Reason for their override.
  - Case Data Removal Override Report for supervisors to see lists of Cases that have details for Purge decision overridden.
  - A series of batch processes have been developed,  
Case Data Removal Identification Job, Case Data Removal Re-Verification Job, Case Data Removal Job
1. For removing branches of the CASE and PERS tables. PERS records would only be removed when the PERS was only associated to Removable Cases.
  2. Remove Case and Person documents stored in the Document Storage from AWS S3 for each Removed Case/Person
  3. Remove Images from the imaging system for each removed case, with an exception to retain any Image with a Document Type = Time Limits.

Commented [PG1]: Should this be disposition?

Commented [HT2R1]: Nope its dispensation itself - it means as per rule or something like that



## 1.4 Assumptions

- The ICT tables are not in scope for this effort as they do not have CASE as a parent table. i.e., Any removal of ICT data would be separate from the Case Data Removal.
- The contents of the CASE\_PURGE and RPT\_CASE\_PURGE tables have been converted from C-IV to CalSAWS as part of the overall Migration conversion effort.
- CalWIN data retention has been implemented by DXC as part of Conversion and applied during each CalWIN Wave. The two teams are periodically collaborated with each other and made sure both teams are on the same page with regards to overall approach. Once conversion is completed, additional purge process has been implemented to purge Images as per CalSAWS data retention policy for the purged cases.
- CalSAWS legal counsel has reviewed details associated with the ongoing county litigation related to opioid addiction and found no impact to the current CalSAWS data retention policy.
- This design document continuously evolves to align with the latest data retention policies and the deployment of new features to Production.

## 2 SOLUTION APPROACH

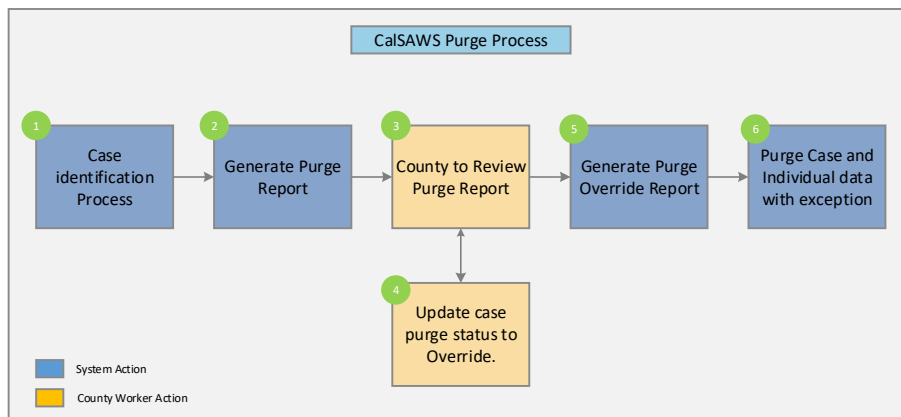
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### 2.1 Case Data Removal Process Overview

The removal process will remove dormant data that falls outside of the retention guidelines approved by the Consortium, leaving behind a shell case for those that have been removed. Initially, this process has been built for the C-IV System, given the direct impacts to C-IV conversion cutover activities and the length of time that C-IV has existed (since 2004 for the original four C-IV counties) and later transformed to work with the CalSAWS system, where it will run during approved schedule as part of the ongoing operations.

#### 2.1.1 Case Data Removal

The following diagram defines the high-level 6-step process to remove a Case in the System:



**Step 1:** Identify a list of removable cases based on the approved retention policies. The details of the case selection criteria are defined in Section 2.2 of this document.

**Step 2:** Generate a report containing list of removable cases selected in step 1 for the counties to review.

**Step 3:** Counties to review the list and perform step 4 (as needed).

**Step 4:** If the case needs to be excluded from the remove process, users with appropriate security rights will be able to override this decision.

**Step 5:** Generate a report containing a list of overridden cases. This list will be excluded from the Case Data Removal process.

**Step 6:** Execute Case Data Remove processes to delete data from database tables following the approved retention rules.

### 2.1.1.1 CalSAWS Application Case Data Removal Status

**Identified:** The Case has been identified as one that will have data removed from the System per Data Retention Policies

**In Progress:** The removal of data for this case has begun. The removal of data for this case has begun. This status will only be set once the Case Data Removal process has started on the case through the deletion batch process. Once this Status has been set, the user cannot Override it.

**Override:** Someone has decided to override the System's automated decision for the removal of this Case's data. The reason for this override will also be captured.

- Please reference section 2.2.4 for the listing of current Override Reason Codes.

**Complete:** Data has been removed. This is now a Shell Case. This status will only be set once the Case Data Removal process has completed on the case.

### 2.1.1.2 Shell Case

While most of the case and individual data will be removed from the database tables, certain information related to the case and the individuals will be retained in the system. This information is called a shell case and will include the following:

- 1) Serial Number and Case Name will remain unchanged.
- 2) The "All People Associated with the Case" section of the Case Summary page will be retained.
- 3) Case Confidentiality
- 4) Companion Case relationship
- 5) Journal Entries (stored as a PDF attached to the case)
- 6) Issuance History (stored as a PDF attached to the case)
- 7) ADDR and PERS\_ADDR table data will be retained.
- 8) Time Limit data for all people associated to the case. This will include the following forms:

Form Number	Form Name
ABP 154	General relief opportunity for work (grow) business specialist referral
ABP 821	GROW Case Manager Checklist
CF 377.11	CalFresh Time Limit Notice Failure to Meet the ABAWDs Work Requirement
CF 377.11A	CalFresh Time Limit Notice for Expiration of Three Consecutive Months for ABAWDs
CF 377.11B	CalFresh Countable Month Letter
CF 377.11C	CalFresh Time Limit for ABAWDs
CF 377.11D	CalFresh Discretionary Exemption for Able-Bodied Adults Without Dependents (ABAWD)
CF 377.11E	CalFresh Able-Bodied Adult Without Dependents (ABAWD) Time Limit Exemption Screening Form
CW 2103	Reminder For Teens Turning 18 Years Old
CW 215	Notification Of Intercounty Transfer
CW 2166	Work Pays Notice
CW 2184	CalWORKs 48 Month Time Limit
CW 2186A	CalWORKs Time Limit Exemption Request
CW 2186B	CalWORKs Time Limit Exemption Determination
CW 2187	Your CalWORKs 48 Month Time Limit

**Commented [PG3]:** Should be CalWORKs

**Commented [HT4R3]:** Form names are Case Sensitive so added as per the actual names, updated both forms

	YOUR CalWORKs 60-Month Time Limit
CW 2187 - Legacy	Your CalWORKs 48 Month Time Limit
CW 2188	Verification of Aid for the TANF Program
CW 2189	Notice of Your CalWORKs Time Limit at 42nd Month On Aid
CW 2190A	CalWORKs 48-Month Time Limit Extender Request Form
	CalWORKs 60-Month Time Limit Extender Request Form
CW 2190B	CalWORKs 48-Month Time Limit Extender Determination Denial Form
	CalWORKs 60-Month Time Limit Extender Determination Form
CW 2191	Time on Aid Verification for CalWORKs 48-Month / TANF 60-Month Time Limits
CW 2192	Tracking Non-California TANF Assistance for the Time Limits
CW 2198LA	CW 2198 Approve: Domestic Waiver
CW 2199	CalWORKs/WELFARE-TO-WORK DOMESTIC VIOLENCE WAIVER REQUEST
CW 2208	Your Welfare-To-Work 24-Month Time Clock
CW 61	Medical Report
CW TL A979I	CW Time on Aid at 42 and 46 Months (We Exemptions-Non Child Support)
CW TL A980I	CW Time on Aid at 42 and 46 Months (CW TL Child Support Exemptions)
CW TL A981I	CW Time on Aid between 42 and 46 Month (No Exemptions)
GEN 107	Message From The County
GN 6142	Welfare-to-Work Grant Program Certification Form (3/10)
GN 6186	CalWORKs 48-Month time Limit Review Worksheet
GN 6188	Time Limit Review/time Limit Extension Request Gram
GN 6333	Notice of Termination of Post-Time Limit Services
GN 6334	Post Time Limit Services Activity Agreement
GN 6376	48-Month Time Limit Extender Checklist
GN 6380	VERIFICATION REQUEST: CalWORKs Parent with DCFS Family Maintenance Case Plan
M40-107D	Time on Aid To Former CalWORKs Recipient
M40-107D - Legacy	
M40-181A	Notice of Action - CalWORKs TERMINATION
NA 1276	Welfare-to-Work 24-Month Time Clock Limit Notice
NA 820	Approval of Transportation
NA 823	Approval/Denial of Ancillary
NA 823 - Legacy	Approval / Denial of Ancillary NOA
NA 840	Sanction / Removal from Aid of Participant Notice
NA 845	Removal of Second Parent Notice
PA 2020	Diversion Agreement

PA 2124	Emergency Assistance to Prevent Eviction & Moving Assistance Programs Application
PA 4026	Time Limit Inquiry Request
PA 6012	4 Month Rental Subsidy Assistance Application
PA 6056	Temporary Homeless Assistance Program (THAP 14_Application)
PLAN 106 CIV	Family Plan
PLAN 112 CIV	Care of a Household Member Verification
TEMP CW 2186A	CalWORKs Time Limit Exemption Request
TEMP WTW EOA	CalWORKs Educational Opportunity and Attainment Program
WTW 2	Welfare-to-Work Activity Assignment
WTW 38	Welfare-to-Work 24-Month Time Clock Notice
WTW 43	Notice Of Your Welfare-To-Work (WTW) 24-Month Time Clock Ending Soon
WTW 44	Welfare To Work (WTW) 24-Month Time Clock Extension Request Form
WTW 45	Welfare To Work (WTW) 24-Month Time Clock Extension Determination
WTW 46	End Of Welfare-To-Work 24-Month Time Clock Review Appointment Letter
WTW 5	Welfare To Work Program Notice
WTW EOA1	CalWORKs Educational Opportunity and Attainment (EOA) Program Application Form
WTW EOA3	CalWORKs Educational Opportunity and Attainment (EOA) Program Deny Form
CW 2184	CalWORKs 60-Month Time Limit
CW 2189A	Notice Of Your CalWORKs Time Limit - 54th Month On Aid
CW 2189B	Notice Of Your CalWORKs Time Limit - 57th Month On Aid
M40-107A	Time On Aid (no previous NOA issued) - Other
M40-107B	Time On Aid at Redetermination
M40-107E	60th Month On Aid - Change
M40-107F	Extended Beyond 60 Months of Aid
M40-107F1	Extender Met After 60th Month
M40-107F2	Extender Ended
M40-107J	Timed Out Adult - Partial Approval
M40-107J1	Approval After 60 Months on Aid
NA 531	Notice Of Action - Continuation Page - 60-Month Time Limit - Includes Budget
TEMP 3022	State Law Increases the Time Limit for CalWORKs Adults to 60 Months
NA 840	NA 840
NA 840 - Legacy	Sanction / Removal from Aid of Participant Notice
NA 845	Notice to Second Parent, First Parent Sanctioned
NA 845 Set	NA 845 and WTW 27 Set
NA 845 - Legacy	Removal of Second Parent NOA

NA 817 - Legacy	Lowering Cash Aid
NA 840 A	Determination of Good Cause/No Good Cause
NA 840 A - Legacy	Determination of Good Cause / No Good Cause
NA 840A-3	NA 840A (C) WTW No Good Cause - No Compliance Plan
M44-352A	CalWORKs Final Demand-Overpayment Recoupment
M44-352C	Overpayment Recovery
M44-352D	Overpayment Recovery
M44-352G	Demand Overpayment
M44-352H	CW Overpayment Adjustment
M44-352H SAR - Legacy	CalWORKs Overpayment Adjustment Notice
CSF 132	Overpayment Letter
CF 377.7B	CalFresh Overissuance for Client Error
CF 377.7B - Legacy	CalFresh Overissuance Notice For Inadvertent Household Errors (IHE) Only
CF 377.7C	CalFresh Repayment Agreement For Inadvertent Household Errors Only
CF 377.7C - Legacy	CalFresh Repayment Agreement - Inadvertent Household Errors Only
DFA 377.7G	CalFresh Repayment Agreement for an Intentional Program Violation (IPV) Only
DFA 377.7G - Legacy	CalFresh Repayment Agreement - IPV Only
M40-107 - ADDENDUM 1	Child Support Collection For CalWORKs 60-Month Time Limit Exemption
M40-107 - ADDENDUM 2	Child Support Collection For CalWORKs 60-Month Time Limit Exemption
M40-107K	Increase Grant due to TOA Adjustment

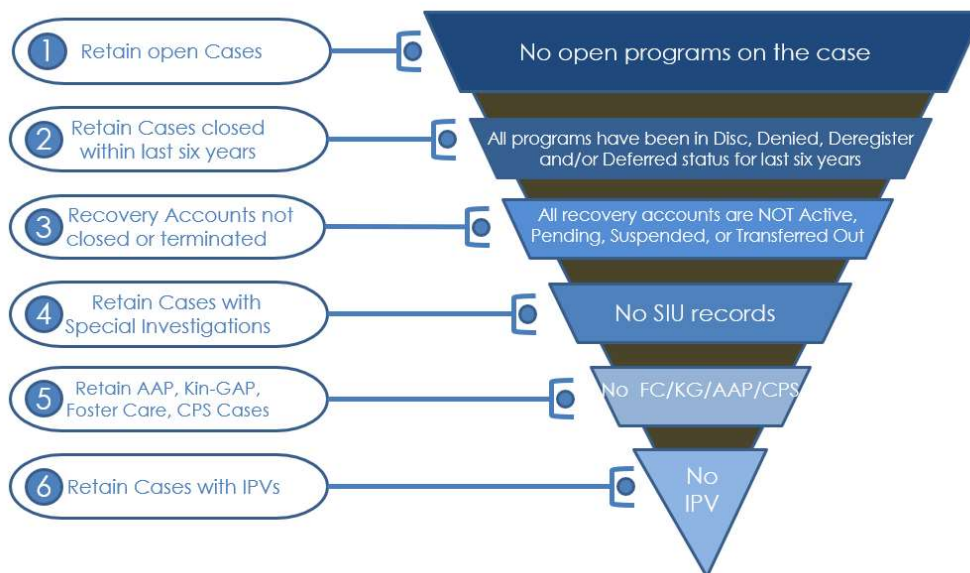
NOA Number	NOA Description	RSN_SNIPPET_ID
NA 840A_3	No Good Cause-Non Compliance Plan	7473
NA 817	WTW SANCTION: 1ST PARENT	7000
NA 530/M40-107G	Aid:60Mnths	9580
NA 530/M40-107F	Aid:>60Mnths	9581
NA 530/M40-107B	Time on Aid at Application/Redetermination	9582
NA 530/M40-107F2	Aid:60Mnths	9584
NA 530/M40-107F1	Aid:60Mnths	9585
NA 530/M40-107K	Aid:>60Mnths	9586
NA 530/M40-107J1	Aid:>60Mnths	9587
NA 530/M40-107A	Aid:60Mnths	9588
NA 530/M40-107J1	Aid:>60Mnths	9596
NA 530/M40-107J1	Aid:>60Mnths	9597
NA 530/M40-107J1	Aid:>60Mnths	9598
NA 530/M40-107J1	Aid:>60Mnths	9599

Refer to section 3.1 for tables that will be purged/retained under the CASE and PERS Trees during the Data Removal process.

## 2.2 Case Data Removal Identification

### 2.2.1 Overview

A batch job will identify cases eligible for removal based on the approved record retention policies:



### 2.2.2 Rules:

Case must meet **all** the following criteria in order to be considered removable:

- The Case must have no open programs.
- All programs on the Case must be closed for more than six years. A program is defined as Closed if it is in one of the following program's eligibility statuses:
  - Discontinued (DS)

- Denied (DE)
  - Deferred (DF)
  - Deregistered (DG)
- If the Case has any recovery accounts, they must all be Closed. Open recovery accounts are defined as any that are currently in one of the following statuses:
  - Active (AC)
  - Transferred Out (TO)
  - Pending (PE)
  - Suspended (SU)
  - Uncollectible (UF)
  - Pending Agreement (PA)
  - Pending Approval (AP)
- If the Case has a recovery account in a status representing Closed but has a Recovery Account balance (either negative or positive value), it will not be Identified for purge. Similarly, cases with Recovery Accounts that are in "Uncollectible" status will not be identified for purge.
- If the Case has any recovery account transaction irrespective of status, less than 12 months from the date of identification will not be identified for purge.
- If the Case has person linked to a recovery account on an active case, it will not be identified for purge, below are the identified scenarios.
  - EDBC Recoupment
  - Related Recovery Accounts
  - Related/Shared Receipts
  - Related Active Responsible Party
- If the Case has Issuance Details created within 6 years from the date of identification, it will not be identified for purge.
- If the Case has CalHEERS transaction information created within 6 years from the date of identification, it will not be identified for purge.
- The Case cannot have any Special Investigation records (regardless of the status of those investigations).
- The Case cannot contain any of the following programs, regardless of status:
  - Foster Care (FC)
  - Kin-GAP (KG)
  - Adoption Assistance (AA)
  - Child Protective Services (CPS)
- The Case cannot have an open Federal or State audit. Federal/State audits are conducted within the first two years of Case closure, and it may take up to a year to complete the investigation. Therefore, selecting cases that are closed for more than six years covers this rule without any additional automation.

Please Note there are multiple types of audits that can be conducted on a case; and not every audit is necessarily captured in Cal SAWS. This could end up being a potential Override reason when that functionality is designed.

- The Case cannot have any Intentional Program Violations. The following types of IPV sanctions are considered:
  - Child Support IPV (06)
  - Cal Fresh IPV (24)
  - General Assistance IPV (29) (CalSAWS Only)

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- Time Limit Data needs to be retained for the purged cases. GAGR Time Limit information for LA County needs to be retained if it is within 60 months from the date of identification.

### 2.2.3 Case Data Removal Identification Report

The purpose of this report is to provide counties a list of cases identified by the System that will have data removed during the next purge batch run. The Report will be split into multiple sheets per County. Below are the highlights of items included in this report :

- Case Number, Case Name, and Primary Applicant
- Identification Date is the date the Case was selected for removal having met all the requirements outlined above sections 2.2.1 & 2.2.2.
- Closure Month represents the month the case program was closed (i.e., Denied, Discontinued, Deregistered, or Deferred).
- When possible, the Aid Code for the program in question will be displayed on the Report. This column is populated using the same method as the Aid Code that is displayed on the Case Summary page. For example, Medi-Cal aid codes exist at the person level and are not displayed on the Case Summary page. The same is true this report: All MC programs listed on the report will have the Aid Code blank.
- Recovery Account Closure Date reflects the latest Closed status date of any recovery accounts associated to the purged case.

Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Identification Report'

Below is a sample of the Case Data Identification Report.

A	B	C	D	E	F	G	H	I
<b>CalSAWS Case Data Removal Identification Report</b> Napa Run Date: FEB-03-22 09:00 AM Report Month: 06/2021								
							Row Count	Case Count
							559	186
Case Number	Case Name	Program	Aid Code	Status	Closure Month	Recovery Account Closure Date	Primary Applicant	Identification Date
0071025	Case Name	Welfare to Work	-	Deregistered	06/24/2003	-	OSWALD, MILLARD	09/11/2020
0081802	Case Name	Welfare to Work	-	Deregistered	10/01/2002	-	AKEMAN, LARHONDA	09/11/2020
0099694	Case Name	Welfare to Work	-	Deregistered	08/19/2004	-	ABERDEEN, MILLARD	09/11/2020
0118716	Case Name	Welfare to Work	-	Deregistered	09/25/2006	04/11/2013	PLYMPTON, TERENCE	09/11/2020
0087920	Case Name	Welfare to Work	-	Deregistered	02/28/2006	-	BURR, EDWIN	09/11/2020
0090064	Case Name	Welfare to Work	-	Deregistered	05/21/2002	06/12/2012	OWEN, GERMAINE	09/11/2020
0076223	Case Name	CalFresh	33 - CW-Zero Parent (Fed)	Discontinued	08/01/2010	-	BRISTED, TERENCE	09/11/2020
0076223	Case Name	CalWORKs	33 - CW-Zero Parent (Fed)	Discontinued	08/01/2010	-	BRISTED, TERENCE	09/11/2020
0076223	Case Name	Medi-Cal	-	Denied	10/01/2010	-	BRISTED, TERENCE	09/11/2020
0082787	Case Name	Welfare to Work	-	Deregistered	10/31/2006	-	SKIDMORE, MARQUITTA	09/11/2020
0082787	Case Name	Medi-Cal	-	Discontinued	10/01/2010	-	SKIDMORE, MARQUITTA	09/11/2020
0082787	Case Name	CalFresh	09 - CalFresh	Discontinued	10/01/2010	-	SKIDMORE, MARQUITTA	09/11/2020
0099764	Case Name	Welfare to Work	-	Deregistered	11/01/2000	-	Conway, Althea	09/11/2020
0114636	Case Name	CalFresh	09 - CalFresh	Denied	09/01/2011	-	BLAIR, MARGOT	09/11/2020
0107247	Case Name	Medi-Cal	-	Discontinued	09/01/2009	-	GRIFFITH, SHELLEY	09/11/2020
0107247	Case Name	CalFresh	09 - CalFresh	Discontinued	09/01/2009	-	GRIFFITH, SHELLEY	09/11/2020
0107247	Case Name	CalWORKs	33 - CW-Zero Parent (Fed)	Discontinued	09/01/2009	-	GRIFFITH, SHELLEY	09/11/2020
0107247	Case Name	CalFresh	0F - TCF	Discontinued	02/01/2010	-	GRIFFITH, SHELLEY	09/11/2020
0107888	Case Name	CalFresh	0F - TCF	Discontinued	01/01/2012	-	WINCHCOMBE, MAURICIO	09/11/2020
0107888	Case Name	Welfare to Work	-	Deregistered	05/31/2005	-	WINCHCOMBE, MAURICIO	09/11/2020

## 2.2.4 Case Data Removal Override Report

The purpose of this report is to provide counties a list of which cases have been overrode by users. The report will also display the Override Reason of why these cases should not have any case data removed on them. This report will contain each column contained in the Identification reports with three additional columns. The following bullets detail each of the additional columns on the Override report:

- Override Reason represents the reason for the Override, based on the agreed upon set of reasons across each County. These reasons are all situations that cannot be automatically identified by the System.
  - The current Override reasons:
    - Board of Supervisors Decision
    - Fraud Investigation
    - Hearing/Court Order
    - Pending Litigation
    - Under QA/QC Review
- Override Date represents the date the County Staff member switched the Data Removal Status from Identified to Override on the Case Data Removal detail page.
- Worker ID represents the ID of the County Staff member that switched the status from Identified to Override on the Case Data Removal detail page.

Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Override Report'

CalSAWS Case Data Removal Override Report											
Napa											
Run Date: FEB-03-22 08:36 AM											
Report Month: 07/2021											
										Row Count	Case Count
										5,523	1,368
Case Number	Case Name	Program	Aid Code	Status	Closure Month	Primary Applicant	Identification Date	Recovery Account Closure Date	Override Reason	Override Date	Worker ID
0132052	Case Name	CalWORKs	30 - CW-All Other Families (Fed)	Denied	07/01/2009	BOSTWICK, EUGENE	09/11/2020	-	Under QA/QC Review	04/06/2021	-
0132052	Case Name	Medi-Cal	-	Discontinued	06/01/2011	BOSTWICK, EUGENE	09/11/2020	-	Under QA/QC Review	04/06/2021	-
2001419	Case Name	CalFresh	09 - CalFresh	Discontinued	01/01/2011	BARD, AZUCENA	09/11/2020	-	Under QA/QC Review	04/06/2021	-
2001419	Case Name	Medi-Cal	-	Discontinued	01/01/2011	BARD, AZUCENA	09/11/2020	-	Under QA/QC Review	04/06/2021	-
2001419	Case Name	Welfare to Work	-	Deregistered	08/01/2010	BARD, AZUCENA	09/11/2020	-	Under QA/QC Review	04/06/2021	-
2001419	Case Name	CalWORKs	30 - CW-All Other Families (Fed)	Discontinued	01/01/2011	BARD, AZUCENA	09/11/2020	-	Under QA/QC Review	04/06/2021	-
2001419	Case Name	Immediate Need	-	Discontinued	06/01/2010	BARD, AZUCENA	09/11/2020	-	Under QA/QC Review	04/06/2021	-
0117731	Case Name	Immediate Need	-	Discontinued	05/01/2011	Ogden, Andre	09/11/2020	-	Under QA/QC Review	04/06/2021	-
2005243	Case Name	Immediate Need	-	Discontinued	12/01/2011	OCKLEY, SHIELA	09/11/2020	-	Under QA/QC Review	04/07/2021	-
2005243	Case Name	CalFresh	-	Denied	11/01/2011	OCKLEY, SHIELA	09/11/2020	-	Under QA/QC Review	04/07/2021	-
2005243	Case Name	CalWORKs	35 - CW-Two Parent (Fed)	Denied	11/01/2011	OCKLEY, SHIELA	09/11/2020	-	Under QA/QC Review	04/07/2021	-
2005243	Case Name	Medi-Cal	-	Discontinued	05/01/2013	OCKLEY, SHIELA	09/11/2020	-	Under QA/QC Review	04/07/2021	-

### 2.2.5 Batch Jobs

Case Data Removal Identification Job (PB00P800) and Identified Case Data Removal Re-Verification Job (PB00P803) have been created to identify cases that can have data to be removed. These batch jobs will search the CalSAWS database to identify data removal cases and insert into the purge table with an initial status of 'Identified'.

- A database table called CASE\_PURGE is used to store the case ID and purge status, along with other information required for auditing and reporting.
- The batch process (PB00P800) will execute the core SQL to identify cases and insert them into the purge table.
- After the PB00P800 is executed, re-verification batch process (PB00P803) will execute and remove the cases as per exception rules from the purge table.
- Later the Report Load Analytics procedures will run on their scheduled monthly dates to generate the Case Data Removal Identification Report for all CalSAWS Counties.
  - AN\_CURATION\_REPORTS\_CASE\_PURGE\_IDENTIF\_REPORT
  - AN\_CURATION\_REPORTS\_CASE\_PURGE\_IDENTIF\_REPORT\_RDS
  - AN\_CURATION\_REPORTS\_CASE\_PURGE\_IDENTIF\_REPORT\_QLIK
  - AN\_CURATION\_REPORTS\_CASE\_PURGE\_OVERRD\_REPORT

### 2.2.6 Batch job Schedule

Case Data Removal Batch job will be scheduled on ad hoc basis as per approved schedules.

Case Data Removal Reporting process is monthly, and reports will be available on the 12th day of every month. If this date lands on a holiday or Sunday, then the report will be available the following day.

### **2.2.7 Restart Logic**

See section 2.5.7

## **2.3 Case Data Removal Online Page changes**

### **2.3.1 Case Summary Page updates**

For cases that have been identified for Case Data Removal only, the Case Summary page will now show Case Data Removal Status changes as we progress from Identified to Complete in the deletion process. Refer to section 2.1.1.1 for the Case Data Removal Status.

### **2.3.2 Case Data Removal Status on Case Summary Page**

The Case Summary page will show a Case Data Removal Status, which will be a hyperlink to display the current status in the Case Data Removal process. Clicking on this link will direct the user to the Case Data Removal Detail page.

The following image represents the Identified Data Removal Status on the Case Summary page for a County Staff member that does not have rights to edit the Data Removal Status.

Case Name: Case Name

Case Number:

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

Riverside Sys4

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number: 

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

New Person

Hide Person

EBT Account List

Issuance History

Auxiliary Authorization List

Expungement History

Child Support Collections

Time Limit Aid Summary

Case Flag

Legacy Case

Confidentiality

ICT Summary

Case Summary

Images

Capture

Generate Coversheet

Case Name

County

Case Name

Riverside

Data Removal Status

Identification Date

Identified

02/15/2022

Companion Cases

Case Number

Case Name

☐

Case Name

Remove

Add

Self-Service Portal

Display:

05/01/2022

View

CalWORKs

CalFresh

CFET

The following image represents the Identified Data Removal Status on the Case Summary page for a County Staff member that has rights to edit the Data Removal Status. The Case must also have a removal status of 'Identified' or 'Override' for this Edit button to appear.

CalSAWS

Case Name: Case Name

Case Number: Case Number

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

Riverside Sys4

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number:

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

New Person

Hide Person

EBT Account List

Issuance History

Auxiliary Authorization List

Expungement History

Child Support Collections

Time Limit Aid Summary

Case Flag

Legacy Case

Confidentiality

ICT Summary

Case Summary

Images

Capture

Generate Coversheet

Case Name

County

Case Name

Riverside

Data Removal Status

Identification Date

Identified

Edit

02/15/2022

Companion Cases

Case Number

Case Name

Remove

Add

Self-Service Portal

Display:

05/01/2022

View

CalWORKs

CalFresh

CFET

The following image represents the Override Data Removal Status on the Case Summary page for a County Staff member that has rights to edit the Data Removal Status. The Case must also have a removal status of 'Identified' or 'Override' for this Edit button to appear.

CalSAWS

Case Name: Case Name

Case Number:

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

Riverside

SYS4

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number: 

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

New Person

Hide Person

EBT Account List

Issuance History

Auxiliary Authorization List

Expungement History

Child Support Collections

Time Limit Aid Summary

Case Flag

Legacy Case

Confidentiality

ICT Summary

Case Summary

Images

Capture

Generate Coversheet

Case Name

County

Case Name

Riverside

Data Removal Status

Identification Date

Override

Edit

02/15/2022

Companion Cases

Case Number

Case Name

☐

Case Name

Remove

Add

Self-Service Portal

Display:

05/01/2022

View

CalWORKs

CalFresh

CFET

When a case is in a Data Removal status of In Process on the Case Summary page, the status hyperlink of 'In Process' will display in the Data Removal section and can navigate you to the Case Data Removal Detail page where further details are listed. Once this Status has been set, the user cannot Override it.

San Bernardino

AT1

Case Name: Case Name

Case Number:

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number:

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

New Person

Hide Person

EBT Account List

EBT Theft List

Case Summary

Case Name

County

Data Removal Status

Identification Date

Companion Cases

Case Number

Case Name

Add

Display:

04/01/2024

View

All People Associated with the Case

When a case is in a Data Removal status of Complete on the Case Summary page, the status hyperlink of 'Complete' along with Completion Date will display in the Data Removal section and can navigate you to the Case Data Removal Detail page where further details are listed.



CalSAWS

Case Name: Case Name

Case Number: 22

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

San Bernardino

SYS1

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number:

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

New Person

Hide Person

EBT Account List

Issuance History

Auxiliary Authorization List

Expungement History

Case Summary

Images

Case Name

County

Case Name

San Bernardino

Data Removal Status

Identification Date

Completion Date

Complete

09/11/2020

06/02/2021

Companion Cases

Case Number

Case Name

Add

Display:

01/01/2022

View

All People Associated with the Case

Name	DOB	Age	Gender	SSN	CIN	Person #	Household Status
Edwin Holcombe	03/07/1947	74	M	906-57-4390	06497516E	01	

When a case is in the Complete Data Removal status it is known as a Shell Case. When in the context of this type of case while on the Case Summary page, the page option to add a new program will display on the page. Once 'New Program' is clicked a validation message will appear 'Cannot add programs to a shell case' preventing a program from being added to the case, as shown below.

CalSAWS

Case Name: Case Name

Case Number: 22

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

San Bernardino

SYS1

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number:

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

New Person

Hide Person

EBT Account List

Issuance History

Auxiliary Authorization List

Expungement History

Child Support Collection

Case Summary

Images

Case Name

Case Name

County

San Bernardino

Data Removal Status

Complete

Identification Date

09/11/2020

Completion Date

06/02/2021

Companion Cases

Case Number

Case Name

Add

Display:

01/01/2022

View

All People Associated with the Case

Name	DOB	Age	Gender	SSN	CIN	Person #	Household Status
Edwin Holcombe		74	M			01	

CalSAWS

Case Name: Case Name

Case Number: 22

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

San Bernardino

SYS1

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number:

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

New Person

Hide Person

EBT Account List

Issuance History

Auxiliary Authorization List

Expungement History

Program Detail

Cannot add programs to a shell case.

This Type\_1 page took 0.40 seconds to load.

This feature is in place for Shell Cases in order to lock them down from having any new programs pending or activated on them. In this situation the Worker should create a brand new case, if needed, to add the shell case members and begin activation of a new case, instead of linking the new one to the purged shell case.

In addition to preventing programs from being added to Shell Cases, a new feature to disable the Image 'Scan' and 'Generate Worksheet' buttons has been implemented on the Case Summary page, leaving only the Images button itself as shown below.

CalSAWS

Case Name: Case Name

Case Number: 22

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

San Bernardino

SYS1

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number:

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

New Person

Hide Person

EBT Account List

Issuance History

Auxiliary Authorization List

Expungement History

Case Summary

Images

Case Name

Case Name

County

San Bernardino

Data Removal Status

Complete

Identification Date

09/11/2020

Completion Date

06/02/2021

Companion Cases

Case Number

Case Name

Add

Display:

01/01/2022

View

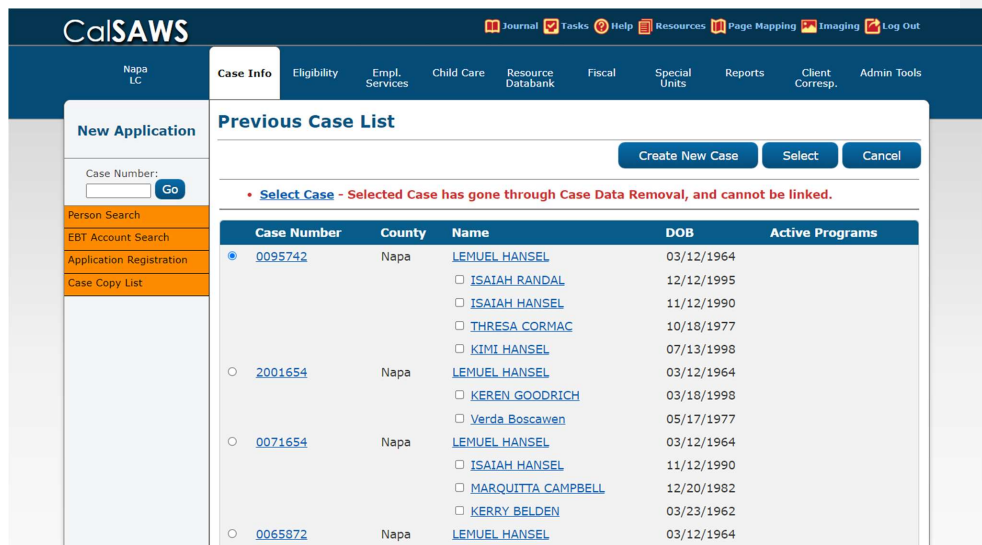
All People Associated with the Case

Name	DOB	Age	Gender	SSN	CIN	Person #	Household Status
Edwin Holcombe		74	M			01	

The Images button remains on the Case Summary page for Workers to have access to any of the retained Images required from the Retention Policy –

- Personal images where a person is shared on other cases that have not gone through the Data Removal process.
- Time Limit images attached to the Shell Case

Also, shell cases cannot be linked to a CalHEERs referral. When attempting to select a shell case during the referral linking flow, the following validation message appears: Select Case – Selected Case has gone through Case Data Removal and cannot be linked.



### 2.3.3 Case Data Removal Detail page

The Case Data Removal Detail page is where County Staff members with the appropriate rights can update the Status from 'Identified' to 'Override', or back to 'Identified' from 'Override'. If the Status on this detail page is changed from the original Status of 'Identified' (as determined by the Data Removal Identification batch job) to the 'Override' status, the case will be excluded from having any case data removed. If the status is left in 'Identified' status, the case will have case data removed once the Deletion Batch is executed.

Security Group for Edit functionality:

The editing feature on the Case Data Removal Detail page is available to users who belong to the newly created 'Case Data Removal Edit' security group. This also applies to the Edit button on Case Summary, next to the status, for those cases having a Case Data Removal status of 'Identified' or 'Override'. The 'Case Data Removal Edit' group, which contains the 'CaseDataRemovalEdit' right, and is not assigned to any security role. The local Security Administrators will need to add the approved users to this new security group.

The following image represents the Case Data Removal Detail page in Edit mode when left in 'Identified' status.

CalSAWS

Case Name: Case Name

Case Number:

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

San Bernardino AT1

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number:

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

Case Data Removal Detail

\*- Indicates required fields

Edit

Close

Data Removal Status

Identified

Identification Date

09/11/2020

Edit

Close

This Type 1 page took 0.29 seconds to load.

The following image represents the Case Data Removal Detail page in Edit Mode when changing from 'Identified' status to 'Override' status. This status change allows the 'Override Reason' field to display (see Section 2.2.4 for a list of Override Reasons).

CalSAWS

Case Name: Case Name

Case Number:

Journal

Tasks

Help

Resources

Page Mapping

Imaging

Log Out

San Bernardino AT1

Case Info

Eligibility

Empl. Services

Child Care

Resource Databank

Fiscal

Special Units

Reports

Client Corresp.

Admin Tools

Case Summary

Case Number:

Go

Person Search

EBT Account Search

Application Registration

Case Summary

Contact

Authorized Representative

Application Questions

Negative Action

New Program

Case Data Removal Detail

\*- Indicates required fields

Save and Return

Cancel

Data Removal Status: \*

Override

Override Reason: \*

Board of Supervisors Decision

Hearing/Court Order

Pending Litigation

Under QA/QC Review

Fraud Investigation

Identification Date

09/11/2020

Save and Return

Cancel

This Type 1 page took 0.29 seconds to load.

The following image represents the Case Data Removal Detail page in Edit Mode when the status has already been updated to 'Override'. The County Staff member will be able to see the Override Date the Override was made in addition to the Worker ID that made the change.

**CalSAWS** Case Name: Case Name Case Number: Journal Tasks Help Resources Page Mapping Imaging Log Out

San Bernardino AT1 Case Info Eligibility Empl. Services Child Care Resource Databank Fiscal Special Units Reports Client Corresp. Admin Tools

**Case Summary**

Case Number:  Go

Person Search EBT Account Search Application Registration Case Summary Contact Authorized Representative Application Questions

**Case Data Removal Detail**

\*- Indicates required fields

Save and Return Cancel

**Data Removal Status: \*** Override Reason: \*

Override  Hearing/Court Order

**Identification Date** **Override Date** **Worker ID**

09/11/2020 03/06/2024 [01AS000100](#)

Save and Return Cancel

This Type 1 page took 0.29 seconds to load.

When the Worker switches the Data Removal status between both Identified and Override status, that Worker's ID gets captured on the Detail page as a hyperlink. Clicking on that hyperlink navigates to the Staff Detail page of that Worker that made the change. Once the user click the Close button on the Staff Detail page it will route you back to the Case Data Removal Detail page.

**Staff Detail**

\*- Indicates required fields

Close

**General Staff Information**

**First Name:** **Middle Name:** **Last Name: \*** **Suffix:**

**Staff Status Code: \*** **Classification Title: \*** **Staff ID:**

Active - FT 2

**Regional Call Center:**

**Available Hours: (Day-Day Time-Time):**

**Additional Information:**

**Spoken Language Information**

**Spoken Language \*** **Proficiency \***

English Primary

The Case Data Removal Detail page in Complete status displays as follows –

The screenshot displays the CalSAWS interface. At the top, the header includes the CalSAWS logo, user information (San Bernardino SYS1), and navigation links (Journal, Tasks, Help, Resources, Page Mapping, Imaging, Log Out). Below the header, a secondary navigation bar lists various modules: Case Info, Eligibility (selected), Empl. Services, Child Care, Resource Databank, Fiscal, Special Units, Reports, Client Corresp., and Admin Tools.

The main content area is titled "Case Data Removal Detail". On the left, a sidebar contains a "Case Summary" section with a "Case Number" input field and a "Go" button, followed by a list of navigation links: Person Search, EBT Account Search, Application Registration, Case Summary (highlighted), Contact, Authorized Representative, Application Questions, Negative Action, New Program, New Person, Hide Person, EBT Account List, and Issuance History.

The "Case Data Removal Detail" section shows a "Data Removal Status" of "Complete". Below this, a table displays the "Identification Date" as 09/11/2020 and the "Completion Date" as 06/02/2021. A link for "Journal History" is also present. A modal box with a "Close" button is overlaid on the right side of the page.

## 2.4 Case Verification

Workers have been given time, since the original reporting run date as per the Purge Schedule, to evaluate identified cases before the case data removal is performed. During this time, it is possible that changes on identified cases will make them no longer eligible for the case data removal process. The nightly Re-Verification Job (PB00P803) will evaluate identified cases to confirm their eligibility for the purge.

The Re-verification batch process will execute the same query criteria (section 2.2.2 criteria rules) is run after the PB00P800 (case Identification) job. This is a standalone job that will run daily in Production to identify any of the cases in the CASE\_PURGE table that no longer meet the criteria and will remove those cases from the table. Cases removed from this table will not be picked up in any downstream case-purge process. Note: Cases in Overridden status will be excluded from this nightly Re-verification process.

A batch scheduler change request will deactivate the Re-Verification batch job after the final set of data deletions have taken place.



Once this batch job runs in Production and removes the cases from the CASE\_PURGE table the following will occur in the CalSAWS application:

- These cases will have their Case Data Removal status section on Case Summary removed and they will not have a Detail page.
- For the Case Data Removal Reports, these cases will drop off from the next version of the reports, decreasing the overall record counts and total case counts.

## **2.5 Data Deletion Process**

The final removal of data associated to identified cases has been split into four steps which will be executed as part of Case Data Deletion Batch Job (PB00P801).

- 1) PDF Generation for Journals and Issuances
- 2) Removing NOAs and Forms
- 3) Removing Imaged documents
- 4) Remove case data

### **2.5.1 PDF Creation**

The PDF creation process will write each of the records for the Issuance and Journal History to a separate file for each case and store them to the file server. For cases that have historic information, these PDF files will be accessible on the Case Data Removal Detail page as hyperlinks. These hyperlinks will appear on the page after the case data deletion process has processed the case. Further information and examples of each PDF type can be found below.

The initial steps of the Batch Deletion process are to check each case originally identified for deletion still meets the criteria. If so, the System will generate PDFs to capture any Journal and Issuance History prior to deleting any case data. If there is no data for the PDF in question (e.g., if no Issuance History exists for a case), then no PDF will be generated, else PDF file will be generated by retrieving data from pages based on PDF type.

#### **2.5.1.1 Issuance History PDF**

This PDF will retrieve the same data from the Issuance Search Detailed Results Page for every issuance record on that case. An example of the Issuance History PDF is shown below:



## Issuance History

Los Angeles

Date created: 02-02-2022 01:07 PM

Case Number	B21KB04
Case Name	Case Name

Control Number	Payee	Program	Month	Category	Method	Issue Date	Status Date	Status	Amount
19201064	Payee Name	CalFresh	01/2016	Monthly Benefit	EBT	01/01/2016	12/23/2015	Issued	\$16.00
19107848	Payee Name	CalFresh	12/2015	Monthly Benefit	EBT	12/01/2015	11/21/2015	Issued	\$16.00
1913750	Payee Name	CalFresh	11/2015	Monthly Benefit	EBT	11/01/2015	10/25/2015	Issued	\$16.00
AL821KB041510001	Payee Name	CalFresh	10/2015	Monthly Benefit	EBT	09/24/2015	09/24/2015	Issued	\$20.01
AF821KB041510001	Payee Name	CalFresh	10/2015	Monthly Benefit	EBT	09/24/2015	09/24/2015	Issued	\$16.00
AF821KB041509001	Payee Name	CalFresh	09/2015	Monthly Benefit	EBT	08/22/2015	08/22/2015	Issued	\$16.00

The County, Date Created, Case Number and Case Name will display at the top portion of the document for each file generated.

All data elements within the document are searchable using the 'Find' option within the PDF application.

### 2.5.1.2 Journal History PDF

This PDF will retrieve the same data from the Journal Detail page results for each journal entry on that case. An example of the Journal History PDF is shown below:

Los Angeles

Date created: 02-03-2022 11:49 AM

Case Number	T620A4D
Case Name	Case Name

Entry Date	Entry type	Short Description	Long Description	Append Journal Entry	Worker ID	Method of Contact
02/03/2022	Fiscal	Issuance Adjustment	EDBC Results/Issuance Issuance Summary Funding: State CFAP Amount: Yes \$100 Overridden Allotment: \$200 Allotment: \$50 Pro-rated: Yes		90AS00005B	
02/03/2022	Activity	Child Care Memo	Classic Here's a memo about child care.		90AS00005B	
02/03/2022	Activity	Journal Entry for Employment Services	Civil Rights County Interpreter County provided interpreter: Certified Employee Interpreter name: John Doe Customer name: Jane Doe Preferred oral language: Spanish Preferred written materials: Afghani This is a change: Yes Individual Demographics Detail page updated: Yes Case flag updated: No Employment/Income Self-Employment Self-employed customer, name: Jane Doe Type of Business: Food Delivery Job Title: Driver First date of pay: Date started: Hours worked per week: 36 Estimated monthly income: \$ 200 Monthly Expense total: \$ 150 Customer Elects: Standard Income: \$ 50 Type of verification used: Sight Frequency: Weekly Conversion factor: 4.33 Additional pay: Tips		90AS00005B	Written
02/03/2022	IEVS	IEVS National Prisoner Match Received	Classic Received IEVS National Prisoner Match. Requires further investigation.		90AS00005B	Verbal
12/09/2000	Conversion	Sima Rusty			CNV	

The County, Date Created, Case Number and Case Name will display at the top portion of the document for each file generated.

### 2.5.1.3 History PDF Hyperlinks

The PDF files behind the hyperlink targets will be stored on the AWS S3 storage after the process completes per each case. Each file will be unique and will exclusively contain journal and issuance history data specific to the case processed. The file names, as created on the file storage, are generated as follows:

- journalEntry.pdf
- issuance.pdf

They are stored in the following folder structure:

- CasePurge/[county name]/[case\_id]/journalEntry.pdf
- CasePurge/[county name]/[case\_id]/issuance.pdf

The Journal and Issuance History PDF hyperlinks will display on the Case Data Removal Detail page and only after the case deletions batch process has completed for a given case. The following screenshot shows where each hyperlink will display on the Detail page.

The screenshot displays the CalSAWS interface. At the top, there's a header with 'CalSAWS' and navigation links like Journal, Tasks, Help, Resources, Page Mapping, Images, DCFS Images, and Log Out. Below this is a sub-header with 'Los Angeles LC' and 'Case Info' selected. The main content area is titled 'Case Data Removal Detail'. It features a 'Data Removal Status' section with a 'Complete' status, an 'Identification Date' of '02/02/2022', and two hyperlinks: 'Journal History' and 'Issuance History'. A sidebar on the left contains a 'Case Summary' section with a 'Case Number' input field and a 'Go' button, followed by a list of navigation links: Person Search, EBT Account Search, Application Registration, Case Summary, Contact, Authorized Representative, and Application Questions.

## 2.5.2 Document Removal

The Document Removal process will remove generated notice of actions (NOAs) and forms from the file management system passing in the identified set of cases. It considers records discovered by the Case Identification batch that are not in either a "Complete" or "Overridden" status. This job will remove all generated NOAs and forms, with the following exceptions:

- 1) Retain all documents outlined under section 2.1.1.2, which describes what data remains in the shell case.
- 2) Retain all documents associated to a person who is associated to a case not eligible for case purge. This may occur when a person is associated to multiple cases in the SAWS system. A case is not considered eligible for case purge if:
  - a. The case was not discovered by the Case Identification batch (PB00P800).
  - b. The case has been overridden in the case purge process (a.k.a. that Case Purge status is set to "Override").

After removing all eligible documents, this job will update the Document Status on the associated case purge record to indicate that documents have been removed for the case by setting CASE\_PURGE.DOC\_STAT\_IDENTIF = 'Y'.

A small percentage of documents this job attempts to remove from the file store will be unavailable, due to broken links between the database and the document. Two batch properties are used to set an error threshold, which allows for some broken links but will terminate the job if too many are missing (potentially indicating a connection issue with the file store):

- 1) **maxErrorPercentage:** Compare the number of records processed vs the number of records missing. If the percentage of number of records missing is greater than the **maxErrorPercentage**, the job will terminate. The following property will make sure that the job won't terminate if the first case happens to be missing documents. This threshold is currently set to 5%.
- 2) **minErrorCount:** The minimum number of errors that occur before the job terminates. This sets an error threshold, where the job won't terminate until we reach the minimum number of errors. This threshold is currently set to 100 errors.

### 2.5.3 Image Removal

The Image Removal process removes all images associated to the case people eligible for the purge associated to the case.

This process first identifies all images associated with the case via a service call to the Hyland Imaging System. It will then identify all images associated to people on the case who are eligible for the purge (aka people who only exist on cases that are scheduled to be purge).

The document type is checked for each image in the list. Any Time Limit documents are retained.

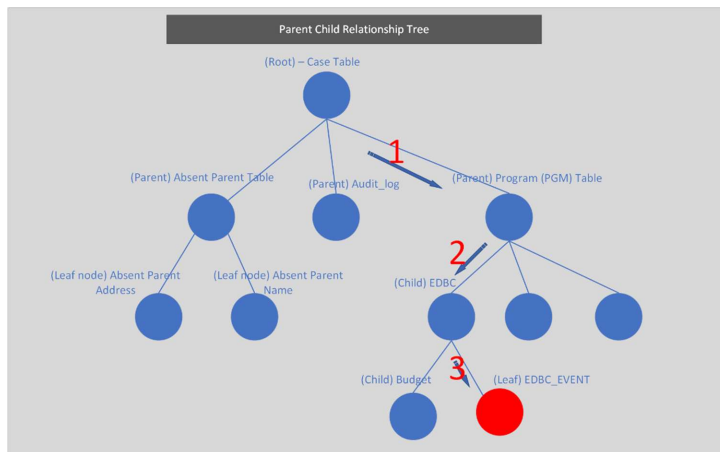
Finally, the job issues a delete command to the Hyland Imaging System for every identified case and person image that is still eligible for the purge. Once all images have been deleted, the job updates the **IMG\_STAT\_IDENTIF** on the associated case's **CASE\_PURGE** record to "Y" to signify that image removal has completed.

### 2.5.4 Data Deletion

Data Deletion is an Oracle procedure that physically deletes the data from the database tables for a given Case. The procedure uses configuration tables, defined in the below section, to traverse through the tree to find the leaf node, build the delete SQL statement based on the table key to uniquely identify the data, and execute the SQL statement to physically delete the data. Once the data is deleted from the table, it moves up in the hierarchy to find the next leaf and repeat the process.

The list of database tables that are identified for deletion is loaded into the configuration tables as defined in section 3 with parent and child relationships and appropriate keys to identify unique data. The process reads the configuration tables and will traverse through the relationship to find the leaf node (lowest child). Once the leaf node is identified, it starts deleting the data and moves up the hierarchy until the

data from parent table is deleted. An example of the parent and child relationship (tree structure) and traversing logic is defined in the following diagram.



The above diagram represents the parent and child relationship of database tables in a tree structure. This structure is used to traverse through the branches to find the children (leaf node) to start deleting the data. The highlighted steps in red describe how the deletion leaf node logic identifies the child tables at a high level.

- 1) When a Case is selected from the CASE\_PURGE table, Program IDs associated to the Case are selected from the PGM table.
- 2) Based on the Program ID, appropriate records from the EDBC table are selected
- 3) As we traverse through the EDBC tables, the EDBC\_EVENT table is a leaf node, and hence the data from EDBC\_EVENT table can be deleted.
- 4) After deleting the data, the logic flow is moved up to find the next child and the leaf node.

The data deletion logic will be driven by two configuration tables. The first configuration table lists the immediate child of the root, and the second table contains the children of the parent and their level. The details of these tables are defined in the technical section 3 of this document.

#### 2.5.4.1 Deletion Logging Mode

The batch deletion process will have an option to turn the deletion logging on or off by passing a parameter in the main batch job. When the logging mode is on, the data deletion module will start logging every action performed in the function, including table name where data is being deleted with the Case ID, Person ID and other key columns to identify a unique record in the table.

### 2.5.5 Batch Dependencies

The Case Data Deletion Batch Job (PB00P801) is scheduled to run after Case Data Removal Re-Verification Job (PB00P803) to make sure data is up to date.

### 2.5.6 Exception Logging

A standard batch framework is used to log all exceptions encountered in the data deletion process. These exceptions will be monitored as part of standard batch operations. Depending on the reason for the exception, Defects or Changes will be logged and tracked in Jira.

### 2.5.7 Batch Restart

Restartability for all jobs is managed by records inserted and updated in the CASE\_PURGE table. Should a job terminate unexpectedly, it should be resubmitted with `restart.mode=false`. It will continue from the last commit of the previous run.

## 2.6 Case Data Removal Completion Report

The Case Completion report lists all cases that have successfully completed the case purge process. It will display the following information:

**Case Number:** Case that has completed the case purge.

**Case Name:** Name associated to the Case.

**Identification Date:** The date the case was originally identified for the case purge process.

**Completion date:** Date that the case was purged from the system.

Navigation to the Report: Homepage > Reports > Scheduled > Case Activity > Title 'Case Data Removal Completion Report'

	A	B	C	D
1	<b>CalSAWS Case Data Removal Completion Report</b>			
2	<b>Los Angeles</b>			
3	<b>Run Date: MAY-12-22 11:34 AM</b>			
4	<b>Report Month: 04/2022</b>			
5				
6			<b>Row Count</b>	<b>Case Count</b>
7			8	8
8				
9	<b>Case Number</b>	<b>Case Name</b>	<b>Identification Date</b>	<b>Completion Date</b>
10	B1H1343	Case Name	03/29/2022	10/31/2022
11	B0SP4544	Case Name	03/29/2022	10/31/2022
12	B1ABCDEF	Case Name	03/29/2022	10/31/2022
13	B1W3P42	Case Name	03/29/2022	10/31/2022
14	B1HEYOK1	Case Name	03/29/2022	10/31/2022
15	B1SLA7777	Case Name	03/29/2022	10/31/2022
16	B03B597132	Case Name	03/29/2022	10/31/2022
17	B0XX334342	Case Name	03/29/2022	10/31/2022

### 2.6.1 Batch Job

The present run frequency for the Case Data Removal Completion Reporting (AN\_CURATION\_REPORTS\_CASE\_PURGE\_COMPLTN\_REPORT) process is monthly and reports will be available on the 12th day of every month. If this date lands on a holiday or Sunday, then the report will be available the following day.

### 2.7 Case Data Removal Process Turn Off

Once processing of all Cases identified, the CalSAWS Case Purge is completed. BSCR's will be submitted to turn off batch jobs.

## 3 TECHNICAL DESIGN











### 3.1 Delete Process

The case purge process is driven primarily off the CASE\_PURGE and the CASE\_PURGE\_DELETE tables. The Case Purge table identifies the list of cases to be deleted from the CalSAWS database tables and the Case Purge Configuration table










identifies the list of tables where case data will be deleted. The tables' logical structure is as follows:

CASE\_PURGE table structure:

CASE_PURGE				
 	ID	NUMBER	(PK)	(IX3)
 	CASE_ID	NUMBER	(FK)	(AK0,IX1)
	SELECT_DATE	DATE		
	START_DATE	DATE		(IX7)
	COMPL_DATE	DATE		(IX6)
	STAT_CODE	VARCHAR2 (3 Byte)		(IX5)
	OVERRD_DATE	DATE		
 	OVERRD_STAFF_ID	NUMBER	(FK)	(IX4)
	OVERRD_RSN_CODE	VARCHAR2 (3 Byte)		(IX2)
	CREATED_BY	VARCHAR2 (30 Byte)		
	UPDATED_BY	VARCHAR2 (30 Byte)		
	CREATED_ON	TIMESTAMP(6)		
	UPDATED_ON	TIMESTAMP(6)		
	ISSUANCE_FORMS_STAT_IDENTIF	VARCHAR2 (1 Byte)		
	ISSUANCE_FORMS_URL	VARCHAR2 (500 Byte)		
	JOURNAL_FORMS_STAT_IDENTIF	VARCHAR2 (1 Byte)		
	JOURNAL_FORMS_URL	VARCHAR2 (500 Byte)		
	DOC_STAT_IDENTIF	VARCHAR2 (1 Byte)		
	IMG_STAT_IDENTIF	VARCHAR2 (1 Byte)		

CASE\_PURGE\_DELETE table structure:

CASE_PURGE_DELETE				
	ID	NUMBER	NN (PK)	(IX7)
	TABLE_DELETE_GRP	VARCHAR2 (50 Byte)		(IX1)
	DELETE_SEQ	NUMBER (6,2)		(IX4)
	PARNT_TABLE	VARCHAR2 (50 Byte)		
	CHILD_TABLE	VARCHAR2 (50 Byte)		(IX2)
	DML_ACTION	VARCHAR2 (2 Byte)		(IX5)
	FORGN_KEY	VARCHAR2 (50 Byte)		(IX3)
	ALT_FORGN_KEY	VARCHAR2 (50 Byte)		(IX6)
	CREATED_BY	VARCHAR2 (30 Byte)	NN	
	UPDATED_BY	VARCHAR2 (30 Byte)	NN	
	CREATED_ON	TIMESTAMP(6)	NN	
	UPDATED_ON	TIMESTAMP(6)	NN	

As part of the deletion process, batch job (PB00P801) will perform the following steps to remove the data:

- Executes the same re-verification criteria of nightly Re-Verification Job (PB00P803) to check for any real time transaction exceptions.
- Once the Case is verified to still meet all the deletion criteria, batch job will update the Status to 'In Process' and the PDF creation process is called to create PDF files for Journal Entries and Issuance history data, as defined in section 2.5.1.
- Upon successful creation of PDFs, Document Removal process is called to remove the documents from AWS S3, as defined in section 2.5.2.
- Next would be Image Removal process to delete images, as defined in section 2.5.3.
- Finally, the data deletion process will be executing a PL/SQL stored procedure, as defined in section 2.5. is called for each case to delete the case/person data from identified tables.
- Upon successful deletion of Case data, the process updates the Case Data Removal Status to 'Complete' and will begin processing the next Case for deletion.

The attached spreadsheet contains two tab pages – Delete Tables and Do not Delete Tables. The first tab page contains list of tables configured in CASE\_PURGE\_DELETE table for data deletion. The second tab page contains the list of tables where case/person data will be retained. For example – Time tracking data



Case Purge Delete  
Tables.xlsx

To support the deletion process we have created a series of DBCR's to perform On Delete Set to Null value operations for the following tables:

- On Delete Set EXPNGMNT\_ID to Null on ISSUANCE table
- On Delete set ISSUANCE\_ID to NULL on ISSUANCE table
- On Delete set RELATED\_TRANSACT\_ID to NULL on RECOV\_ACCT\_TRANSACT table
- On Delete set PGM\_PERS\_ID to Null on TIME\_LIMIT\_DETL table
- On Delete set TEMP\_EDBC\_SRC\_PGM\_ID to Null on PGM table
- On Delete set PGM\_ID to Null on GENERATE\_DOC table
- On Delete set SERV\_ARRGMT\_ID to Null on GENERATE\_DOC table

### 3.2 Report Generation

CalSAWS uses Qlik for viewing reports which is developed AWS Analytics Architecture framework. Refer to the below share point link for the details on how this framework is used for the processes behind generating the Case Data Removal Identification, Override and Completion Reports.

<https://calacesorg.sharepoint.com/:p:/r/sites/CalACES-Project/Tech/Analytics/Architecture/CalSAWS%20AWS%20Architecture.pptx?d=w3a35ef945e9e4782a117de49cf518d2a&csf=1&web=1&e=LIVRC1>

### 3.3 Stage Document Utility

Testing environments do not include copies of forms and NOAs from the production environment. References to forms and documents stored in GENERATE\_DOC end up as broken links since the documents don't exist in the testing file management system.

The Stage Documents Utility (PB00P805) will resolve these broken links by mocking files in the testing file management system. This ultimately allows for more accurate testing.

The Stage Documents utility is also capable of storing mocked image files for the ImageNow system. You can control whether mocked forms or mocked images are generated with the following batch properties:

- 1) generateDocuments: Set to "Y" if you would like to generate documents.
- 2) generateImages: Set to "Y" if you would like to generate images.

Generating images also requires setting the following property:

- 1) `sampleImagePath`: The filepath of a sample .TIF image file. Note: it is best to keep the filesize of this image relatively small, since the job will generate several thousand copies of the image.

The Stage Documents Utility will identify all generated documents for a given case ID. Case IDs can be provided to the utility in two ways:

- 1) `caseId`: Set this property to match a single case ID which contains documents you would like to mock.
- 2) `caseListPath`: You may provide a list of Case IDs to feed into the utility by employing the `caseListPath` property. First, you need to create a text file that contains all the case IDs you would like to mock with each case ID on its own line. You'll need to upload this file to the batch server, then provide the file's path as the `caseListPath` parameter. For example: `caseListPath="/export/batch/scripts/CaseList.txt"`.

Mocked files will appear on the testing file management system under the `casePurge/mockedExceptions`. Mocked images will appear in the appropriate test environment's Hyland Imaging destination associated to the case.

**Note:** This utility cannot (and should not) be run in production. All batch properties associated to this job have been labeled as test properties, which prevents the job's execution on production batch servers.

## 4 REQUIREMENTS

### 4.1 Project Requirements

DDID	Description	Notes
CIV-105446	Monthly Batch job - case data removal – Discontinued / Inactive cases.	The scope of this DDID is covered in SCR-107763.
CA-208415	Monthly Batch job - case data removal - Discontinued / Inactive cases.	

## 5 SUPPORTING DOCUMENTS

Number	Functional Area	Description
107763	SCR	Create Case Data Removal Functionality
107825	SCR	Implement Case Data Removal Sprint 1 Features
107834	SCR	Implement Case Data Removal Sprint 2 Features
107924	SCR	Implement Case Data Removal Sprint 3 Features
107957	SCR	Implement Case Data Removal Sprint 4 Features
108104	SCR	Implement Case Data Removal Sprint 5 Features
108106	SCR	Implement Case Data Removal Sprint 6 Features
108107	SCR	Implement Case Data Removal Sprint 7 Features
108108	SCR	Implement Case Data Removal Sprint 8 Features
108109	SCR	Implement Case Data Removal Sprint 9 Features

108110	SCR	Implement Case Data Removal Sprint 10 Features
108111	SCR	Implement Case Data Removal Sprint 11 Features
108215	SCR	Data Change - Sutter County - Override 2014 cases from data removal per Board of Supervisors Decision
220458	SCR (CalSAWS)	Create CASE_PURGE table and Codes Table references to align with C-IV
224147	SCR (CalSAWS)	Update CASE_PURGE table to include deletion status fields for documents and images to align with C-IV
108554	SCR	Tehama County - Data Retention Flag Due to Opioid Litigation
108616	SCR	Case Data Removal Sprint 9 On Delete Set Null CR's
108630	SCR	Case Data Removal Sprint 10 On Delete Set Null CR's
CA 229298	SCR (CalSAWS)	Port Case Data Removal Functionality into CalSAWS
CA 229300	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 1
CA 229301	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 2
CA 229302	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 3
CA 229303	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 4
CA 229305	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 5
CA 229306	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 6

CA 229308	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 7
CA 229309	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 8
CA 235667	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 9
CA 235669	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 10
CA 235670	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 11
CA 243795	SCR (CalSAWS)	Implement CalSAWS Case Data Removal Functionality Sprint 12
CA-253787	SCR (CalSAWS)	Update Batch Schedule and Reports Calendar for 2023, Case Purge Reports schedule has been updated to 11 <sup>th</sup> calendar day
CA-251337	SCR (CalSAWS)	Prevent linking records to shell cases
CA-255731	SCR (CalSAWS)	Remove Page Validation that Prevents Linking MAGI Case to the Same CalSAWS Case
CA-270510	Defect (CalSAWS)	Implement County Level Purge Configuration so that it can run only for the specified counties
CA-254284	Defect (CalSAWS)	Implement 6 years Retention Period for any CalHEERS Transactions created on the Cases.
CA-253881	Defect (CalSAWS)	Implement 12 months Retention Period for changes in the Recovery Accounts to support reports
CA-259931	Defect (CalSAWS)	Implement Retention Logic for EDBC Recoupment, Related Recovery Accounts, Related/Shared Receipts, Related Active Responsible Party Scenarios.
CA-266992	Defect (CalSAWS)	Implement 6 years Retention Period for Issuance created to Expungement Cases
CA-253636	SCR (CalSAWS)	DDID 2261 - Imaging CalWIN Retention Phase 1
CA-253637	SCR (CalSAWS)	DDID 2261 - Imaging CalWIN Retention Phase 2