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Removal Of Data

In certain circumstances, but not due to a change of circumstances, the Child Maintenance Group (CMG) is requested to remove data, documents and recordings from all of its systems. Removal of the data may be achieved using the Legal Compliance for Removal of Data (LCRD) process.

The main purpose of the LCRD process is for the removal of data that CMG should not legally hold. It is not aimed at correcting simple errors that can be resolved by following BAU processes, e.g. change of circumstances or revisions.

The LCRD process can be followed to remove specific types of data in certain circumstances for individuals; it cannot be used to remove an individual from a case if they are rightly a participant in another open or closed case, it cannot be used to remove a case, and cannot remove data in bulk.

Requests are received through Business as Usual (BAU) and may come from:

- Caseworkers
- Clients / Other party
- Information Commissioner's Office (ICO)
- Courts - Court Orders

These requests may be regarding the removal of:

- Incorrect information due to official (caseworker) error
- Personal data e.g. name, address, phone number
- Case notes
- Call recordings
- Erroneous National Insurance Number

The Subject Access Request (SAR) Team may send an offline request to a legal team, Policy and/or operational team for impact and analysis of the data for removal. Once a response is received, the SAR Team collate responses, record the details in the system and issue a letter accepting or rejecting the request.

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ⓘ Where correspondence has been attached to the wrong case, please refer to Correspondence (Inbound) for information.

ⓘ A diagram of the LCRD triage process is available for LCRD referral guidance: LCRD Triage Process

BAU request for Data Removal

If incorrect information is identified by BAU the caseworker must:

1. Check all available sources of information and local guidance:
   - BAU Procedures
   - Team Leader
   - Consolidators
   - SharePoint Fundamentals
   - Training Materials / Emulations
   - Policy, Law and Decision Making Guidance (PLDMG)
   - SPOCs
   - Advice and Guidance

2. Confirm that the incorrect information cannot be amended or removed using standard BAU processes and that it must not legally be held by CMG

3. Identify fully what case and participant information is incorrect

External request for Data Removal

All external requests for data removal must be scanned onto the system as inbound activity items and attached to the **LCRD SR**, if one is raised. Requests for removal of data may come from:

- Information Commissioner Office (ICO)
- Courts
- Client, client representative or other party

BAU Consider Options Prior to LCRD Request

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Notes

If case or contact notes have been added incorrectly or need to be amended, the notes field can be overwritten:

1. Navigate to the note and update the note field with the amendments.

2. Save the record.

   For more information on record notes refer to **Notes - Service request/case/contacts**

Participant

When identifying the data to be removed the following must be considered
- What role does the participant hold?
- Is the participant involved in another case?

A ROC/CIFBA will show in all of the paying parent's cases if more than one. It is important to consider if the child, or children, is involved in another case in a different role.

When taking LCRD action to remove an individual from a case and they are also a legitimate participant in another case, raise an incident with AAC before continuing with this process.

Paying Parent

If an incorrect paying parent has been identified and the NINO is verified but the details such as Name, NINO, DOB or Address are incorrect, and the Initial Calculation has not yet been performed on the case, AAC can request Service Management intervention to make corrections.

1. Before raising an incident with AAC the caseworker must perform the following checks to make sure the case meets these criteria:

   - Offline checks in CIS to obtain the details of the correct paying parent and verify these with their Team Leader.
   - Query in Siebel for the paying parent's correct name and NINO to make sure they do not already exist as a contact in the 2012 system and confirm that the (Perform Calculation) **Initial SR** has not yet been completed.

2. When raising the incident the caseworker must provide the correct details for the paying parent and the SCIN of the contact that needs to be changed.

3. Once all the checks have been completed raise an incident with AAC for specific case guidance quoting problem number **602-04-20391**

If the correct PP is already setup as a contact in Siebel but not associated to this case quote problem number **602-04-21653**

If a correct participant has been added on the system more than once, this is a duplicate SCIN. Raise an incident quoting problem numbers **602-04-16994**

Participants can be added as a contact with a different role or different spelling and variation of names.

Qualifying Child

If a child has been added incorrectly as QC on the case a workaround or Service Management knowledge article can be applied.

- If the case pre indicative and the QC(s) NINO is not verified or all of the required children are not present on the case then the case should be closed. Refer to Application - Receiving Parent (Closed Enquiry).

If all the required children are present on the case and their NINO's are verified raising an incident quoting problem number **602-04-21652**

- If the case is post indicative complete the application. Then close the case back to the effective date. Refer to Close Case (Direct Pay) or Close Case (Collect and Pay)

LCRD Action Appropriate

If no other methods are suitable for amending or removing the data in question then:

1. Contact AAC for further advice about methods for amending or removing the data

2. If AAC advise that a request for data removal is appropriate create a new SR from the contact screen as follows:
   - **Process = LCRD**
   - **Area = Request for removal**
   - **Sub Area = Request for removal**

⚠ Always create LCRD SRs from contact screens.

3. Capture any details on the SR and attach the activity (if applicable)

   - **Source Activity** (top applet) – for correspondence from external bodies, e.g. Court or ICO, attach the letter activity
   - **Source** (top applet)
   - **Contact Details** (middle applet)

ℹ Where you have identified that data needs to be removed using more than one **Request for removal SR,** e.g. because incorrect data relating to the subject is linked to another client's contact record, or that the data removal may affect another case, ensure that you include these details in each SR raised including:
   - Master Case Number (where possible)
   - Case Number
   - SCIN
   - Reason for deletion request
   - Details of the types of information to be deleted
   - Indication if the Case with Enforcement, Appeals, Complaints or undergoing Mandatory Reconsideration

⚠ If the person to be removed from the system is a Paying Parent or Receiving Parent then CIS interest must be deregistered. For more information refer to CIS Interest - Exceptions Process

4. Close all outstanding Service Requests in your work queue related to the person to be removed from the system are closed with the **Resolution Code** of **LCRD Closure**. These SRs can then be re-opened once this process is completed.
5. Update the SR Status to **Pending Assignment**; work allocation moves the SR to the SAR team

LCRD Request Received by SAR Team

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⚠ Once the request is received, the SAR team must consider the deadlines for responses and action the SR immediately. If confirmation and/or authorisation for data removal request is needed issue CMSL1701 and set a wait state of 14 days by updating the **SR Status** to **Wait** and **Next Action Due Date**. If, following the wait status, no response is received, update **Contact Notes** to explain the reason for no action, update the **SR Sub Status** to **Cancel** and the **SR Status** to **Closed**.

1. Update the **SR Status** to **In Progress**

2. Select a suitable value from the drop down menu in the **Source of Request** including:

   - **Caseworker/Official error**

   - **DNA test/Parentage dispute**

   - **Erroneous NINO**

   - **Bank Disclosure Return**

- ▪ **Adoption**

3. Check the inbound activity for details of the request and complete any relevant data fields not already completed. Select the following:

   - ▪ **Data Type For Removal –** a pop-up applet will display

   - ▪ Select **New** and from the dropdown menu and choose from the following:

      - ▪ Personal Active (to check live data)
      - ▪ Personal Historic (to check all closed, historic data)
      - ▪ Documents
      - ▪ Call recordings
      - ▪ Employer/3rd Party – Active

   - ▪ Issue CMSL1700 where proof of Power of Attorney is required.

4. Consider the following:

   - ▪ The ICO may issue a request for review of a complaint they have received. This is called a **Request for Assessment**, the SAR team must respond to these requests within **28 days**

   - ▪ A Court Order request for removal of data is generally received as a result of a direct complaint to the court; a response must be issued within **20** calendar days of the date on the court order

5. There are no time limits for client and caseworker requests however these must be addressed on merit to analyse the impact of potential complaint. Take into account the following:

   - ▪ The length of time the issue has been raised - has there been any unnecessary delay in processing the request

   - ▪ Whether any external parties are or have been involved e.g. MPs

   - ▪ Any previous complaint or caseworker error

6. For more information refer to Complaints Overview.

7. Where necessary, the SAR team may send an offline request to the most appropriate team/s to assist in analysing and addressing the request. This may be a legal team, Policy and/or relevant operational team

System action

8. In the **Data Removal Fields** section, select **New** and enter the details for removal based on the inbound correspondence.

9. Select and update the following fields; **Business Entity**, **Field Attributes**. Create a separate row/line for each item to ensure all the relevant data for removal is selected.

   ⚠ It is the SAR caseworker responsibility to ensure all data and all links connecting a person or organisation are removed or set to null.

ICO and/or Courts

10. ✉ If the **Source of Request** is ICO or Courts, the request will need to be acted upon immediately. Take two levels of offline approval, if further information is required issue CMSL1701 for confirmation of data removal and set a wait status of **28 days** before sending online request for TL approval.

   ⓘ If the letter is not returned, you will need to contact the ICO or Court to obtain the information.

11. Once responses are received from the ICO and Courts, record the final decision, within the **Record of Decision** section of the SR, select one of the following:
   - ▪ **Upheld**

   - ▪ **Not upheld**

   - ▪ **Partially upheld** (dependant on the source)

12. Select from the drop down menu from the **LCRD Process End State** field and select a value:

   - ▪ **ICO Agree Not to Remove**
   - ▪ **CO Agree Not to Remove**
   - ▪ **DPA TL Decides Not to Remove**
   - ▪ **Data Removed**

13. For all requests (including ICO and Courts on) set the **SR Status** to **Pending Approval** and the **SR Sub Status** to **Pending - TL approval** to forward the SR to the Team Leader.

SAR Team LCRD Approval Process

1. An approval task is received by the SAR Team leader. Every request for removal of data is subject to the approval process. Approvers must confirm that any removal has no financial, security or audit implications.

2. If required, complete an offline approval. Send request details to an approver who must be grade seven or higher. This should be a colleague from the legal team, Policy and/or relevant operational team. The approver must examine the details and issue a decision to remove or retain the data to the SAR team.

   Any data removal that does not fall within the Legal Compliance for Removal of Data remit will need to be escalated to your Team Leader.

Team leader action

3. Check the removal data, including all correspondence, confirm the source and reason for removal.

4. Complete the dropdown as **Data removal approved/rejected** and update the comments free-text box to explain the reason if rejecting.

Caseworker action

5. Once the SR is returned, check the approval decision and update the **Resolution code** of the Data Removal SR accordingly.

6. Update the **Authorisation 1 Governance** dropdown field and complete as follows:

   - **Accepted**
   - **Rejected**

7. Select the **Authorisation 2 - Risk** dropdown field and complete as follows:

   - **Accepted**
   - **Rejected**

   If the removal request is rejected check the reason for rejection in the comments field, complete any required action, re-submit for approval or update the **SR Status** and **SR Sub Status** as **Closed** and **Complete**, then select **Ctrl** and **S**.

8. Select the **Check for Open SRs** button and contact BAU Caseworker to close any open SRs before proceeding. Advise the BAU Caseworker to complete closure and update the **Resolution Code** as **LCRD closure**.

   Navigate to the LCRD Contacts Screen / Historic SR (Notes) View / Service Request Applet to see all the SRs and SR owners.

   Where SRs are owned by the system or system administration (owner = 99999990) refers the request to the Service Management team central in-box. When removing data it is the SAR team's responsibility to check all open SRs are closed.

9. Select the more views (blue downward arrow) dropdown tab then select the Child SRs and create an **LCRD data removal SR**, as a child of the initial **Request for removal SR**, as follows:

   - Select **New**
   - **Process = LCRD**
   - **Area = Request for removal**
   - **Sub Area = LCRD data removal**

10. Record the source details and set the **SR Status** to **In Progress** to generate an activity plan.

11. Select on **Get Data Removal fields** tab to transpose the data for removal from the parent **Request for removal SR**.

12. Update the **SR Status** to **Pending Approval** and the **SR Sub status** to **Pending - TL approval** to forward the SR to the Team Leader.

Team leader action

13. Check the removal data, including all correspondence, confirm the source and reason for removal.

14. Complete the dropdown as **Data removal approved/rejected** and update the comments free-text box to explain the reason if rejecting.

SAR Team Reject LCRD Request

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Caseworker/Client/Other Party

1. If not caseworker error, contact the client where possible to explain the reasons the request has been rejected.

   Generate a system letter CMSL1702 for the client and/or other party stating the reason the data is to be retained on the system.

2. Drill down to the contact and go to the notes section of the SR; confirm the reason for rejection is recorded and update the **SR Status** to **Closed** and **SR Sub Status** to **Complete**.

Court Order

1. Open the SR and consider all information returned. Generally, you would not reject the request. However, where you have made the decision to reject the request, invoke the right to appeal process.

   Responses to court orders must be returned according to the date on the court order.

2. Complete the offline, right of appeal document with guidance from the Legal team and send to the Court.

3. Two scenarios exist:

   - Court respond, accept that no action is necessary and the process and SR is closed

   - Court insist the data must be removed, the decision is recorded and progressed to the approval process

4. Drill down to the contact and go to the notes section of the SR; confirm the reason for rejection is recorded and update the **SR Status** to **Closed** and **SR Sub Status** to **Complete**.

ICO

1. Open the SR and consider all information returned. Decision made to reject the ICO request.

2. Generate a system letter CMSL1702 stating the reason the data is to be retained on the system and issue the letter.

3. Two scenarios exist:

   - ICO respond accepting that no further action is to be taken and the process and SR is closed

   - ICO insist the data must be removed, the decision is recorded and progressed to the approval process

4. Drill down to the contact and go to the notes section of the SR; confirm the reason for rejection is recorded and update the **SR Status** to **Closed** and **SR Sub Status** to **Complete**.

SAR Team System Action – Perform Data Removal

SAR Team System Action – Perform Data Removal

Only data/documents/recordings belonging to the requestor can be removed from the system unless requested by a legally authorised body or a caseworker. Removal of records from the active system requires replacement of the document with a null figure and PDF documents are replaced with a blank template, stating the document has been removed.

1. Prior to removal, confirm that all outstanding work items aligned/attached to the data to be removed are closed with the appropriate termination code (LCRD closure)

2. Open the SR, drill down into the account and navigate to the LCRD request view.

3. Confirm that the contact is de-registered from the Customer Information System (CIS). In the LCRD Contacts screen the CIS Interest Code field should be null. If it is not, contact the caseworker that submitted the LCRD request for removal SR, ask them to deregister CIS interest and inform you when deregistration is complete or else contact Service Management and request the same. For more information refer to CIS Interest - Exceptions Process

4. To remove data for 3rd parties and/or employers, select the **LCRD Accounts** tab (top of the screen), select **query** and search for the relevant 3rd party and/or employer accounts.

    To remove data for a contact, select **LCRD Contacts** tab (top of the screen), select **Query** and search for the contact.

5. To delete live data, individually select each of the following tabs:

    - **Correspondence** and **Delink** to remove selected letters

    - **Bank accounts** to delete the account/sort code of selected accounts

    - **Historic SRs** to view closed SRs

    - **Address** to delete selected addresses

    - **Call recordings (ID)** blank the call reference ID field of the selected record activity

    The information disappears from the applet if successfully removed.

6. Select the following tabs individually:

    - **Subject Historic SRs** to view a list of previously closed SRs the subject is linked to

    - **Source Historic SRs** to view a list of SR's the source is linked to

    - **Child Historic SRs** to view a list of SR's the individual is linked to as a child

    If no SRs are displayed, there are no links, but if SRs are displayed drilldown into each SR and remove the relevant data.

7. To remove data, highlight the item and select delete. Remove selected data as follows:

    - **Title** = select the dropdown and choose **LCRD**

    - **First name** = select the dropdown and choose **LCRD**

    - **Last name** = select the dropdown and choose **LCRD**

    - **Date of birth** = enter **29/02/1944**

8. To delete all notes for a contact/client rep, drill down to the contact view and select the **Historic SR (notes)** tab to view all cases where the contact exists.
    The middle applet shows all the SR's linked to that case.

9. Select each SR individually to view the notes records belonging to that SR. Only the notes field is editable, all other fields are greyed out.

10. The user ID, date and time of removal of each data item, document or record is recorded by the system.

11. For the child SR, select one of the following values from the resolution code dropdown menu:

    - **Data removal completed**

    - **Data removal failed**

12. Update the **SR Status** and **SR Sub Status** of the **LCRD Data removal SR** to **Closed** and **Complete**.

SAR Team – Final Check

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1. Where necessary, confirm data removal success by creating a SAR report for the person whose data was removed. For more information refer to Subject Access Request (SAR).
2. Navigate to the parent **Request for removal SR**

3.
    If appropriate, send CMSL1703 clerically to client/organisation to confirm all data has been removed from our systems.
4. LCRD process and status
5. Update the **Completion Check Outcome (after LCRD Removal)** field by selecting one of the following values:
    - **Pass**

    - **Fail**

6. Send an email to the owning segment/case owner to advise all action is completed
7. Update the **SR Status** and **SR Sub Status** of the **Request for Removal SR** to **Closed** and **Complete**.

CMSL1700 Please send us proof of your power of attorney

Data removal request proof of power of attorney needed.

All fields in this letter are system generated, no manual intervention is required.

CMSL1701 Please send us confirmation that we can remove data

Data removal request - confirmation needed.

All fields in this letter are system generated, no manual intervention is needed.

CMSL1702 Data removal request - our decision

Data removal request - our decision.

Under the sub heading 'Data removal request - our decision' enter the decision and what will happen next into the freetext field.

CMSL1703 We have removed data from our systems

Data removal request - data removed.

Under the sub heading 'We have removed data from our systems':

- To inform the requester that the data has been removed select the paragraph 'To the requester, client/ICO/other party' and add details of what data was removed into the freetext field.

- If the client was not the requester select the paragraph 'If the client who was not the requester' and add details of what data was removed into the freetext field.

Application - Receiving Parent

CIS - Register/Deregister Interest

CIS Interest - Exceptions Process

Close Case (Direct Pay)

Close Case (Collect and Pay)

Complaint/Dissatisfaction - Log

Complaint - Resolution

Complaint - Review

Complaint - Third Party

Complaints Overview

LCRD Triage Process Map

Notes - Service request/case/contacts

Subject Access Request (SAR)

What to do if an Incorrect Paying Parent needs a Consolatory Payment?

If an incorrect Paying Parent has been identified, subsequently removed from the CMS 2012 System and a consolatory payment is needed to be issued, refer to Payment - Non Standard using the sub area 'non' client.

What types of data can be removed from CMS 2012?

The types of data can be removed for an individual using the LCRD process are:

- Title
- First Name
- Middle Name
- Last Name
- Known As
- Email Address
- Residential Address
- NFA Address
- Correspondence Address
- Home Phone #

- Business Phone #
- Work Phone Extn
- Gender
- Date of Birth
- Disability Category
- Mobile Phone #
- Bank Account Number/
- Sort Code/
- Account Holder Name
- FAX
- Notes
- Bankruptcy Status
- Bankruptcy Date
- Potentially Violent
- Credit Risk Score (Experian)
- Correspondence Doc
- Call Recordings
- NINO