

# Student Administration – PeopleSoft/Oracle Campus Solutions – Records Retention

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## 1.0 Introduction:

- 1.1 In 2007, Arizona State University adopted the Oracle/PeopleSoft Campus Solutions product as its system of record for student data and human resources information. At that time, records from the previous Student Information System (SIS) on the IDMS were converted to this product. The purpose of this document is to summarize the current system environment and methods used to ensure data retention and quality. The responsibility for maintaining the system is shared between the University Technology Office which manages the technology solutions and the various university offices responsible for the business transactions (examples: Registrar, Student Business Services, Provost Office).

## 2.0 Methodology:

### 2.1 Public Records to be Preserved:

- 2.1.1 The PeopleSoft systems used at Arizona State University support the operation of Student Administration, Human Resources and Customer Relationship Management. These systems serve as the system of record and interface with other university systems. Business transactions are initiated by student's entry through self-service components, by batch processes scheduled to support business cycles, by system interfaces from external systems, and ASU faculty and staff actions through a web interface.
- 2.1.2 **Campus Solutions – Academic Structure/Academic Information** module preserves records related to the course catalog, class schedule, academic program structure (degrees, majors, and certificates) and how these relate to the academic units at ASU.
- 2.1.3 **Campus Solutions – Campus Community** module preserves demographic and identity information for individuals. The primary identifier for ASU student records is generated by this module and is unique to ASU.
- 2.1.4 **Campus Solutions – Admissions** module preserves records related to university admissions decisions for Undergraduate and Graduate programs.
- 2.1.5 **Campus Solutions – Student Records** module preserves records for all students including their academic program, residency, class registration, enrollment, grades and graduation. The student record serves as the foundation for the student transcript.
- 2.1.6 **Campus Solutions – Student Financials** module preserves the details of student tuition and fee structures and how these fees were applied to accounts for individual students and subsequently paid.
- 2.1.7 **Campus Solutions – Financial Aid** module preserves the structure and rules applied to award financial assistance, applications for student financial assistance and the amount and type assistance awarded to each student.

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- 2.1.8 **Campus Solutions – Human Capital Management** - Through various modules the Human Capital Management modules preserves employee recruitment, employment records, payroll and benefit records. The Human Resources Information System (HRIS) uses these modules and shares a database and application with the Campus Solutions student related modules.
- 2.1.9 **Customer Relationship Management** is the system used by UTO and various other offices to manage system problem reports and the appropriate resolution. It interfaces with the Campus Solutions modules and receives student and employee information from these source systems.
- 2.1.10 **DARS (Degree Audit Reporting System)** interfaces with the Admissions module and the Student Records module in PeopleSoft. The system has two basic functions, the evaluation of courses taken at other institutions and submitted to ASU for inclusion in the undergraduate program and the evaluation of all courses taken at ASU or elsewhere for applicability to completing degree requirements. DARS is the system of record for degree completion requirements, transfer articulation rules and for transfer courses submitted from other institutions.

## 2.2 Method of Securing:

- 2.2.1 Records within the PeopleSoft system are created by secured entry through a web-based entry. Individuals have access to update their own information. Employees of Arizona State University in the course of their job responsibilities use the web-based interface to record data about university business transactions. Data trustees review all requests for access to confirm that the access is matched to the job function.
- 2.2.2 Employee access to the PeopleSoft data is removed when the individual leaves employment or when he/she changes position.
- 2.2.3 Security for these entries is maintained through the standard ASU methods for web authentication. The system architecture uses secure internet protocols to avoid disclosure of information to others.
- 2.2.4 The PeopleSoft system logs and dates changes to records within the system. Each record identifies the process or individual that completed the update.

## 2.3 Components of the System:

- 2.3.1 The PeopleSoft System consists of:
  - 2.3.1.1 *The HRSA database in Oracle for the records for Campus Solutions and Human Capital Management. The data in the database provides the source information to regenerate documents listed in the record retention schedule. The database also stores records of processing requests. This combination enables regeneration or retrieval of business documents.*

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- 2.3.1.2 *The CRM database in Oracle for the records for Customer Relationship Management. Included in these records are change management requests to initiate any changes to the code base for the system.*
- 2.3.1.3 *Various application servers and web servers that manage the execution of customer interaction.*
- 2.3.1.4 *ASU custom interfaces resident on ASU web and application servers.*
- 2.3.1.5 *The stored records of various print formats connected to the transaction records. (examples: resumes for job applicants, screen shots for problem reports) The records used approved file. (.pdf, .doc)*

## 2.3.2 Computing Architecture:

- 2.3.2.1 *The database, stored records and applications are hosted at CMSC (CedarCrestone Managed Services). The contract with CMSC provides for multiple servers connecting a single database. The connection to the infrastructure uses the public internet as well as a dedicated network connection. The database is mirrored off-site for disaster recovery. This provides redundancy for network connection, system scalability and hardware failures.*
- 2.3.2.2 *Interfacing systems reside in the ASU Data Center and communicate with the Oracle/PeopleSoft Campus Solution through a redundant network structure using secure internet protocols. DARS is one of the systems that interacts with Oracle/PeopleSoft Campus Solutions.*

## 2.4 Method of Maintaining System Viability:

### 2.4.1 Back-up and Business Continuity.

- 2.4.1.1 *Database back-ups are managed through standard Oracle tools and provide logs and rollback capability.*
- 2.4.1.2 *Off-site mirroring to the database provides for business continuity.*
- 2.4.1.3 *Various tests of the off-site methodology were exercised during the first year of operation. Periodic tests of business continuity will be coordinated with CMSC to ensure the methods are valid.*

### 2.4.2 Change Management Methods.

- 2.4.2.1 *The HRSA system is updated with vendor updates 3 or 4 times a year. These updates ensure that the system remains in compliance with federal and state regulations especially in the area of Financial Assistance and Tax laws. In addition to regulatory updates, these updates from the vendor provide fixes to reported issues.*
- 2.4.2.2 *The CRM system is updated twice a year. The updates from vendor are applied to improve the efficiency of using the vendor support for consultation and problem resolution.*

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- 2.4.2.3 *The HRSA and CRM use versions which Oracle has certified as working in tandem with each other and with the associated Oracle data base.*
- 2.4.2.4 *All updates are managed through standard project management. UTO and customer offices use standard scripts to verify that the version update performs as intended. Prior to implementation functional sign-off is required. The sign-off is recorded with the CRM system.*
- 2.4.2.5 *The patch level remains at a level that will continue support from Oracle the vendor for the PeopleSoft system.*
- 2.4.2.6 *Other changes introduced by ASU are managed through joint change management process between the ASU University Technology Office and CMSC.*

- 2.4.3 Data quality and validity are verified as part of the standard upgrade cycle. Customer offices are required to verify the proper function of all changes introduced to the system.
- 2.4.4 Data conversion from the former system was verified by sampling as well as computer comparisons between the former system and Oracle/PeopleSoft Campus Solutions.
- 2.4.5 All documents and data will be maintained on-line for retrieval or regeneration in compliance with rules for record retention and business continuity.
- 2.4.6 The Oracle/PeopleSoft system has proved to be scalable at other institutions which have used the system for over a decade.

### **2.5 Records Retention and Purging:**

- 2.5.1 The PeopleSoft System is capable of storing significant amounts of data and using scheduled processes to either archive data for subsequent retrieval or purge records from the system. Since each institution that uses the system will have differing business rules the ASU retention policies are enforced by:
  - 2.5.1.1 Delivered purge processes where data is purged after a specified period or number of cycles. These are configured to align with retention policy.
  - 2.5.1.2 Custom processes written especially for ASU processes where data is removed based on functional office specification.
  - 2.5.1.3 Archival methods that retain copies of data for disaster recovery and business continuity.