

ARCHIVING FAQ's

What is archiving?

Archiving is the process of resubmitting an employee's Federal fingerprints for a current criminal background check. Archiving is conducted every two years of employment and for each agency they work for. This process is required by Federal law for all employees and volunteers that work in the DDD industry.

What happens if an agency doesn't complete archiving on a regular basis?

DHS's Licensing Department and DDD Provider Performance and Monitoring Unit conduct regular inspections of agencies. Prior to the investigation, the Department and Unit are provided with a report containing the agency's history of submitting their employees for archiving over the past two years. Any agency that is found to be negligent in archiving could have consequences to their license, certifications or approvals.

When do employees need to be archived?

Employees must be archived every two years in the same month their initial or archived prints became available in FARA. For example, if Mary's initial prints are available in May of 2019, she should be archived in May, 2021. If John's archived prints are available in December, 2019, he would be archived in December, 2021. Please note that employees printed/archived at the end of a month are likely to have an availability date in the following month.

Unless an agency doesn't have any employees due for archive during a given calendar month, agencies should be submitting a list of employees every month.

Does the employee need to physically go for archiving?

No. Because fingerprints are captured electronically, they can be saved, or archived, into an electronic file. The electronic file is submitted, removing the need for the employee to get archived in person. However, if the last archive is five or more years old, DHS will instruct the agency to send the employee for reprinting in person.

What if one of my employees is on leave during the month they are due for archiving?

Since archiving does not require in-person fingerprinting, the agency should submit employees on leave for archiving even though they are not actively working.

How do I submit Agency Heads for archiving?

Agencies are not responsible for archiving their Agency Heads. DDD Provider Performance and Monitoring Unit maintains a list of agency heads and will submit them directly to DHS-ECCU.

What do I do if an employee is rehired?

Rehires need to be submitted to the entire new hire process which includes fingerprinting in person, not archiving.

What do I do if an employee has a last name change?

If an employee's last name has changed (for example, due to a change in marital status), they should be sent for in-person reprinting under their new name.

When do I submit my monthly archive spreadsheet?

Once a month is preferred, anytime during the 1st and last day of the month. However, if any employees are mistakenly left off the monthly submission, a second submission should be sent on the next business day.

How do I submit employees for archiving?

Using the Archive spreadsheet template, the agency compiles a list of employees that are due for archiving in the current calendar month. The agency should provide *the most recent PCN/TCN* for each employee and ensure the employees' names are spelled and punctuated **EXACTLY** as they appear in FARA. Do not include middle initials in the first name field.

The agency then saves the file in the required naming convention of:

NJ920540Z ARCHIVE SUBMISSION YYYY-MM-DD PC#XXXX Agency Name Submitter Name

For example, a submission from Lisa Jones of the Able Agency with the cost center of 1234 on May 20, 2021 would be saved as:

NJ920540Z ARCHIVE SUBMISSION 2021-05-20 PC#1234 Able Agency Lisa Jones

The agency then emails this spreadsheet to the Archiving Request Desk at DDD.CHRI@dhs.nj.gov

ARCHIVING FAQ's (con't)

What happens after the spreadsheet is submitted to the Archiving Request Desk (ARD)?

The ARD forwards the agency's spreadsheet to the Employment Controls and Compliance Unit (ECCU). An ECCU employee will then look up each PCN/TCN in DHS's internal fingerprinting system to validate that the agency provided the correct and most current PCN/TCN, and that the employee is due for archiving.

If the data provided on the spreadsheet is correct, ECCU will send the spreadsheet back to the ARD. The ARD will then send the spreadsheet to DHS's fingerprinting vendor for archiving.

If the data provided on the spreadsheet is incorrect, ECCU will highlight and note the discrepancies on the spreadsheet and send it back to the ARD. The ARD will then send the revised spreadsheet to the agency for updating.

What are the reasons that an agency's spreadsheet is returned for updating and what actions do I take?

PCN/TCN:

- **INVALID OR INCORRECT PCN/TCN** – the PCN/TCN submitted doesn't correspond to the employee listed and/or is for a different agency, or is not the most current # for the employee
 - DHS will provide the agency with the correct PCN/TCN. If the employee is still due for archiving based on this corrected PCN/TCN, the agency would update the spreadsheet with the correct PCN/TCN.
 - If the correct PCN/TCN shows that the employee is not due for archiving, the agency should remove the employee from the spreadsheet.
 - **IMPORTANT:** The agency should update their archiving records to reflect the current PCN/TCN and due date so that the employee can be sent for archive based on this PCN/TCN.
- **DUPLICATE PCN/TCN** – the agency submitted the same employee twice on the same spreadsheet
 - The 2nd instance of the employee should be deleted from the spreadsheet.

ARCHIVE DUE DATE:

- **PCN/TCN TOO OLD TO ARCHIVE** – the most recent PCN/TCN is from five or more years ago
 - The agency will need to treat the employee as new and send them for in-person fingerprinting.
- **TOO SOON TO ARCHIVE** – the PCN/TCN provided is current but from less than two years ago.
 - The agency should remove this employee from their spreadsheet.
 - DHS will provide the agency with the month/year the employee is due for archive.
 - **IMPORTANT:** The agency should update their archiving records with this date so that the employee can be sent for archive when they are due.

EMPLOYEE's NAME:

- **NAME CORRECTION** – the last name listed on the agency's spreadsheet does not match what is in DHS's fingerprinting system (FPS). This discrepancy generally happens due to a change in marital status.
 - DHS will direct the agency to verify the employee's legal name with the employee.
 - If the employee's legal name *is the same* than what was submitted on the spreadsheet, the agency resubmits the spreadsheet with no changes.
 - If the employee's legal name *is different* than what was submitted on the spreadsheet, the agency removes the employee from the spreadsheet and sends the employee to be re-printed in person.
 - **IMPORTANT:** The agency should update their archiving records to reflect the employee's legal last name to avoid future archiving issues.

OTHER:

- **CONTACT ECCU ARCHIVING** – there is an issue with this employee that ECCU needs to discuss with the agency.
 - Please send your name and a telephone number you can be reached at to DHS-ECCU.ARCHIVE@dhs.nj.gov. An ECCU Staff member will call you to discuss the employee's archive.

ARCHIVING FAQ's (con't)

What should I do after making the required updates?

The agency sends the updated spreadsheet back to the Archiving Request Desk. The ARD will forward the spreadsheet to ECCU to ensure the corrections were made. Fully corrected spreadsheets will then be sent to the fingerprinting vendor for archiving.

If there are any additional corrections that need to be made, ECCU will return the spreadsheet to the ARD, who will send it back to the agency for a second time. This loop will continue until the agency provides an error free spreadsheet that can be submitted to the fingerprinting vendor.

How does the fingerprinting vendor process the spreadsheet?

The fingerprinting vendor will upload the spreadsheet into their system. The system makes sure that the first and last names are exactly the same on the spreadsheet as listed to the corresponding PCN/TCN. Archiving will be completed for all employees whose data is a match. The vendor then updates the spreadsheet with the current archive date and new PCN/TCN.

What happens after the vendor completes the archive process?

The fingerprinting vendor returns the agency's spreadsheet to the ARD. The ARD forwards this spreadsheet to the agency. The agency should update their records with this current archive date and PCN/TCN for future archiving purposes.

What do I do if there is a mismatch?

If the vendor found any mismatches, they will note the discrepancy on the spreadsheet.

Spelling errors, suffixes or punctuation:

Examples of minor spelling errors and the addition/correction/removal of suffixes and punctuation are shown below:

Date Submitted	ORI Number	PCN	Last Name	First Name	Revised Document Type	Ignore Warnings	Error Message
06/02/21	NJ920540Z	495199999999	MCCADE	MARTHA	F2		Last Mismatch (MCCABE)
06/02/21	NJ920540Z	495199999999	MORRISON	BERNANRD	F2		First Mismatch (BERNARD)
06/02/21	NJ920540Z	495199999999	ONEAL	MARY	F2		Last Mismatch (O-NEAL)
06/02/21	NJ920540Z	495199999999	SHINN	SAMUEL	F2		Last Mismatch (SHINN-JR)

- The agency validates that the information provided by the vendor in the Error Message column is accurate.
 - **IMPORTANT:** The agency should update their archiving records to reflect how the employee's name is listed in FPS to avoid future archiving issues.
- The agency creates a new spreadsheet containing only the mis-matched employee(s) using the corrected information, and resubmit this new spreadsheet to the ARD.
- ARD will submit the spreadsheet directly to the fingerprinting vendor and then send the agency the updated spreadsheet with the archive date and new PCN/TCN after it is received from the vendor.

Different First or Last Names:

Examples of different first or last names are shown below:

Date Submitted	ORI Number	PCN	Last Name	First Name	Revised Document Type	Ignore Warnings	Error Message
06/02/21	NJ920540Z	495199999999	CRAWFORD	MARGARET	F2		Last Mismatch (ECKEL)
06/02/21	NJ920540Z	495199999999	KANE	CLEOPATRA	F2		First Mismatch (ANTOINETTE)

- The agency verifies what the employee's legal name is.
- If the employee's legal name matches what is listed in the Error Message column, the agency sends the employee to be re-printed in person.
 - **IMPORTANT:** The agency should update their archiving records to reflect how the employee's name is listed in FPS to avoid future archiving issues.
- If the employee's legal name matches what was originally provided, please contact the ARD for next steps.