

Checklist: Personnel File Audit

Employee name:

Job title:

Employment/Orientation Records

- Application and/or resume.
- Offer of employment letter.
- Job description.
- Confidentiality, noncompete or other employment agreement(s).
- New hire checklist.
- Handbook acknowledgment (latest revision date _____).
- Drug testing policy acknowledgment and consent form.
- Background check consent form.
- (Other) _____

Performance Records

- Performance evaluations.
- Self-evaluations.
- Disciplinary warnings and performance improvement plans.
- Notes to file regarding verbal counseling/discipline.
- Awards or recognition for exemplary performance.
- (Other) _____

Training Records

- _____ Required training/certification.
- _____ Required training/certification.
- New-hire orientation checklist.
- New-hire safety training checklist.
- Job-specific safety training checklist.
- Harassment training acknowledgement.

Separation Records

- Resignation letter.
- Notes about the reason for separation.
- Exit interview.
- Separation checklist.
- Unemployment documents.
- Separation agreement.
- Post-termination correspondence.
- Reference release form and reference statements
- (Other) _____

Remove the following types of documents from employee personnel files and store separately:

- I-9 forms and copies of identification.
- Investigation notes and reports.
- Drug test and background check results.
- Payroll records containing social security numbers or other protected information, including W-4s and garnishment orders.
- Medical records including medical exams, disability benefits claim forms, notes from doctors, Family and Medical Leave Act (FMLA) leave records, requests for ADA accommodations, worker's compensation claims and related documents, EAP referrals, results of drug/alcohol tests, reimbursement requests for medical expenses, health-related information about an employee's family members, and any documentation about past or present health, medical condition, or disabilities.
- Confidential records including anything that has protected or sensitive information such as a date of birth, marital status, religious beliefs, etc.
- Consumer-related credit information, credit reports, and personal or financial data.

Notes:

Audit completed by _____

Date _____