



Personnel Files: Employee's Personnel File Audit Checklist

[Audit form needs to be modified based on the specific documents you want to verify are in employee personnel files.]

Employee Name _____

Date of Hire _____

Employment/Orientation Records

- Application or resume (keep in medical/confidential file if it has protected information on it)
- Offer letter
- Confidentiality/ noncompete agreement
- Handbook acknowledgement (latest revision date _____)
- Drug testing policy acknowledgment
- Drug testing consent form
- Background check consent form
- Orientation checklist
- _____

Performance Records

- Performance evaluation forms
- Self evaluations
- Relevant disciplinary warnings and performance improvement plans
- _____

Training Records

- _____ Required training/certification
- _____ Required training/certification
- General new-hire safety training checklist or acknowledgment
- _____ safety training
- Harassment training acknowledgement

Remove the following types of documents from employee personnel files:

- I-9s and any copies of identification
- Investigation notes and reports
- Any drug test or background check results
- Payroll records containing SSNs or other protected information, including W-4s and garnishments
- Medical or confidential records, including anything that has protected information such as a date of birth, medical information, marital status, religious beliefs, etc. including:
 - Benefit enrollment forms for current year, beneficiary forms, benefit claims
 - Leave of absence documentation (FMLA and non-FMLA), disability or WC documentation

Notes:

Audit Completed by _____

Date _____