

Employee Records – Filing 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 contains protected info)
Offer letter
Confidentiality/ non-compete agreement
Handbook acknowledgement (latest revision date _____)
Drug testing policy acknowledgment
Drug testing consent form
Background check consent form

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
Sexual 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: _____