Employee File Audit Checklist

The right documents, in the right files, kept the right amount of time. Audit a sample of files every year.

WHAT BELONGS IN THE PERSONNEL FILE

	YES	PARTLY	NO	N/A
Job description, offer letter, and signed handbook acknowledgment.	☐	☐	☐	☐
Performance reviews, training records, and discipline with employee acknowledgment.	☐	☐	☐	☐
Pay rate history and job changes with approvals.	☐	☐	☐	☐

WHAT MUST BE KEPT SEPARATELY

	YES	PARTLY	NO	N/A
Forms I-9 in a separate I-9 file.	☐	☐	☐	☐
Medical, leave, and accommodation records in a confidential medical file.	☐	☐	☐	☐
Background check reports and investigation files in restricted files.	☐	☐	☐	☐

ACCESS AND RETENTION

	YES	PARTLY	NO	N/A
Only authorized people can access files; access is logged for electronic files.	☐	☐	☐	☐
Employees can review their files as state law allows (Illinois and California both give access rights).	☐	☐	☐	☐
Files are retained and destroyed according to a written schedule.	☐	☐	☐	☐

RED FLAGS TO WATCH

- Medical notes in the personnel file
- Missing acknowledgments
- Discipline with no documentation of facts
- Anyone in the office can open the cabinet

BEST PRACTICES

- Use a file checklist on the inside cover
- Audit 10% of files each year
- Respond to file requests within the legal deadline

Need a hand putting this into action?

IAG audits personnel practices as part of HR retainers and compliance reviews.

Talk with an advisor: integrityadvisorygroup.org/contact

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